

Audit and governance work programme

containing Audit and Governance Committee work to
be undertaken

1 APRIL 2019 - 30 MARCH 2020



The audit and governance work programme belongs to the councils' Joint Audit and Governance Committee and sets out a schedule of work for the period shown above. It is a rolling plan, subject to change at each Committee meeting; however, the councils may allocate additional work.

Item title	Meeting date	Lead officer	Why is it here?	Scope	Notes
Internal audit activity report – first quarter 2019/20	Joint Audit and Governance Committee 29 July 2019	Victoria Hughes Email: victoria.hughes@southandvale.gov.uk	The council audits its services through the internal audit service in line with the approved internal audit plan 2019/20	To summarise the outcomes of recent internal audit activity for the committee to consider. The committee is asked to review the report and main issues arising, and seek assurance that action has been or will be taken where necessary.	This is a recurring agenda item, and is updated at each meeting.

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Internal audit management report - first quarter 2019/20	Joint Audit and Governance Committee 29 July 2019	Victoria Hughes Email: victoria.hughes@southandvale.gov.uk	The committee monitors the effectiveness of internal audit each quarter against the approved audit plan	To report on management issues, summarise the first quarter progress of the internal audit team against the 2019/209 audit plan, and summarise the priorities and planned audit work for quarter three.	This is a recurring agenda item, and is updated at each meeting.
Internal audit annual report 2018/19	Joint Audit and Governance Committee 29 July 2019	Victoria Hughes Email: victoria.hughes@southandvale.gov.uk	Each year the council's internal audit team produces an annual report to review activities over the previous year	To review internal audit activity during 2018/19	
External auditor's annual governance reports 2018/19	Joint Audit and Governance Committee 29 July 2019	William Jacobs, Email: william.jacobs@southandvale.gov.uk	The external auditor publishes an annual governance report on the councils' activities.	To consider the external auditor's annual governance reports 2018/19	
Statements of accounts 2018/19	Joint Audit and Governance Committee 29 July 2019	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	The councils must produce statements of accounts each year.	To approve the statements of accounts 2018/19	

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Annual governance statements 2018/19	Joint Audit and Governance Committee 29 July 2019	Ron Schrieber, Email: ron.schrieber@outhandvale.gov.uk	The councils are required to publish annual governance statements	To approve the annual governance statements 2018/19	
Letters of representation to the council's external auditor	Joint Audit and Governance Committee 29 July 2019	William Jacobs, Email: william.jacobs@southandvale.gov.uk	The committee's co-chairmen and the section 151 officer are required to sign a 'letter of representation' to the external auditor, as part of the process in completing the statement of accounts.	To consider and agree the letters of representation	
Internal audit charter	Joint Audit and Governance Committee 29 July 2019	Victoria Hughes, Email: victoria.hughes@southandvale.gov.uk	The committee is responsible for approval of the internal audit charter which requires periodic review.	To review and approve the internal audit charter.	
Risk Management Update	Joint Audit and Governance Committee 29 July 2019	Yvonne Cutler-Greaves, Email: Yvonne.cutler-greaves@southandvale.gov.uk	The committee agreed to receive regular progress reports on the implementation of the risk management framework	To review and comment on progress	

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External auditor's annual audit letter	Joint Audit and Governance Committee 29 July 2019	William Jacobs, Email: william.jacobs@southandvale.gov.uk	The external auditor is responsible for auditing the councils' business.	To consider the external auditor's annual audit letter 2018/19	
Treasury management outturn 2017/18	Joint Audit and Governance Committee 14 October 2019	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	The committee is responsible for the scrutiny of the councils' treasury management activity.	To consider the treasury management outturn for 2017/8	
External auditor's report on the certification of claims and returns 2017/18	Joint Audit and Governance Committee 27 January 2020	William Jacobs, Email: william.jacobs@southandvale.gov.uk	The external auditor to report on certification and other assurance work.	To consider the external auditor's report	
External auditor's audit planning reports 2019/20	Joint Audit and Governance Committee 27 January 2020	William Jacobs, Email: william.jacobs@southandvale.gov.uk	The external auditor to report on how it intends to carry out its responsibilities as auditor	To consider the external auditor's report	
Treasury management mid-year monitoring 2019/20	Joint Audit and Governance Committee 27 January 2020	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	The committee is responsible for the scrutiny of the councils' treasury management activity.	To review the councils' treasury management activities for the first six months of the 2019/20 financial year.	

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Treasury management strategies 2019/20	Joint Audit and Governance Committee 27 January 2020	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	The committee is responsible for the scrutiny of the councils' treasury management activity and to propose a strategies to Councils, via Cabinets, for the management of this function in the forthcoming year.	To scrutinise the treasury management strategies and policies and if required, make recommendations for amendment to Cabinets	
Risk Management Update	Joint Audit and Governance Committee 27 January 2020	Yvonne Cutler-Greaves, Email: Yvonne.cutler-greaves@southandvale.gov.uk	The committee agreed to receive regular progress reports on the implementation of the risk management framework	To review and comment on progress	
Comments and complaints 2018/19	Joint Audit and Governance Committee 23 March 2020	Sally Truman, Email: Truman@southandvale.gov.uk	The committee is responsible for monitoring the councils' comments and complaints.	To review the comments and complaints received during 2018/19	

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Code of Conduct – annual report	Joint Audit and Governance Committee 23 March 2020	Margaret Reed, Email: margaret.reed@southandvale.gov.uk	The Committee has responsibility for having an overview of the standards of conduct framework for councillors, any co-opted members and parish councillors.	To review complaints received under code of conduct.	
Internal audit plan 2019/20	Audit and Governance Committee 23 March 2020	Victoria Hughes, Email: victoria.hughes@southandvale.gov.uk	The council audits its services through the internal audit service.	To approve the internal audit plan for 2019/20	
Review of statement of accounting policies	Joint Audit and Governance Committee 23 March 2020	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	To audit and review the policies and principles used when compiling the 2019/20 accounts.		