

# Audit and Governance Work Programme

containing Joint Audit and Governance  
Committee work to be undertaken  
JANUARY TO MAY 2020



## What is the work programme?

The Audit and Governance Work Programme belongs to South Oxfordshire District Council's and Vale of White Horse District Council's 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 without notice.

| Item title  | Meeting date  | Lead officer  | Why is it here?   | Scope   | Notes   |
|---|---|---|---|---|---|
| <b>Annual Audit Letter 2018/19</b>                            | Joint Audit and Governance Committee<br>27 Jan 2020 | William Jacobs,<br>Head of Finance<br><a href="mailto:william.jacobs@southandvale.gov.uk">william.jacobs@southandvale.gov.uk</a>  | The external auditor will present its annual audit letter for 2018/19 for the committee's consideration.  |   |   |
| <b>Internal audit activity report - third quarter 2019/20</b> | Joint Audit and Governance Committee<br>27 Jan 2020 | Victoria Dorman-Smith<br><a href="mailto:victoria.dorman-smith@southandvale.gov.uk">victoria.dorman-smith@southandvale.gov.uk</a> | The council audits its services through the internal audit service in line with the approved internal audit plan 2019/20. The report will 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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|---|---|---|--|--|---|
| <b>Internal audit management report - third quarter 2019/20</b> | Joint Audit and Governance Committee<br>27 Jan 2020 | Victoria Dorman-Smith<br><a href="mailto:victoria.dorman-smith@southandvale.gov.uk">victoria.dorman-smith@southandvale.gov.uk</a> | 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. |
| <b>Treasury management mid-year monitoring 2019/20</b>          | Joint Audit and Governance Committee<br>27 Jan 2020 | Simon Hewings<br><a href="mailto:simon.hewings@southandvale.gov.uk">simon.hewings@southandvale.gov.uk</a>                         | 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.   |   |
| <b>Treasury management and investment strategy 2020/21</b>      | Joint Audit and Governance Committee<br>27 Jan 2020 | Simon Hewings<br><a href="mailto:simon.hewings@southandvale.gov.uk">simon.hewings@southandvale.gov.uk</a>                         | The committee is responsible for the scrutiny of the councils' treasury management activity and to propose a strategy to both Councils, via their 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 both Cabinets.  |   |

| Item title   | Meeting date  | Lead officer  | Why is it here?   | Scope  | Notes   |
|--|---|---|---|--|---|
| <b>Internal audit activity report - fourth quarter 2019/20</b>   | Joint Audit and Governance Committee<br>23 Mar 2020 | Victoria Dorman-Smith<br><a href="mailto:victoria.dorman-smith@southandvale.gov.uk">victoria.dorman-smith@southandvale.gov.uk</a> | The council audits its services through the internal audit service in line with the approved internal audit plan 2019/20. The report will 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. |
| <b>Internal audit management report - fourth quarter 2019/20</b> | Joint Audit and Governance Committee<br>23 Mar 2020 | Victoria Dorman-Smith<br><a href="mailto:victoria.dorman-smith@southandvale.gov.uk">victoria.dorman-smith@southandvale.gov.uk</a> | 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. |
| <b>External auditor's audit planning reports 2019/20</b>         | Joint Audit and Governance Committee<br>23 Mar 2020 | William Jacobs, Head of Finance<br><a href="mailto:william.jacobs@southandvale.gov.uk">william.jacobs@southandvale.gov.uk</a>     | The external auditor to report on how it intends to carry out its responsibilities as auditor.  | To consider the external auditor's report.   |   |
| <b>Comments and complaints 2018/19</b>                           | Joint Audit and Governance Committee<br>23 Mar 2020 | Sally Truman<br><a href="mailto:sally.truman@southandvale.gov.uk">sally.truman@southandvale.gov.uk</a>                            | 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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|---|---|---|---|---|-------|
| <b>Code of conduct annual report</b>              | Joint Audit and Governance Committee<br>23 Mar 2020 | Margaret Reed,<br>Head of Legal and Democratic Services<br><a href="mailto:margaret.reed@southandvale.gov.uk">margaret.reed@southandvale.gov.uk</a> | 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 operation of the code of conduct.     |       |
| <b>Risk management</b>                            | Joint Audit and Governance Committee<br>23 Mar 2020 | Yvonne Cutler-Greaves<br><a href="mailto:Yvonne.CutlerGreaves@southandvale.gov.uk">Yvonne.CutlerGreaves@southandvale.gov.uk</a>                     | The committee agreed to receive regular progress reports on the implementation of the risk management framework.  | To review and comment on progress.              |       |
| <b>Internal audit plan 2020/21</b>                | Joint Audit and Governance Committee<br>23 Mar 2020 | Victoria Dorman-Smith<br><a href="mailto:victoria.dorman-smith@southandvale.gov.uk">victoria.dorman-smith@southandvale.gov.uk</a>                   | The council audits its services through the internal audit service.   | To approve the internal audit plan for 2020/21. |       |
| <b>Review of statement of accounting policies</b> | Joint Audit and Governance Committee<br>23 Mar 2020 | Richard Spraggett<br><a href="mailto:richard.spraggett@southandvale.gov.uk">richard.spraggett@southandvale.gov.uk</a>                               | To audit and review the policies and principles used when compiling the 2019/20 accounts.   |   |       |