

Audit and governance work programme

containing Audit and Governance Committee work to
be undertaken

30 SEPTEMBER 2018 - 30 MARCH 2019



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 – second quarter 2018/19	Joint Audit and Governance Committee 15 October 2018	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 2018/19.	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 - second quarter 2018/19	Joint Audit and Governance Committee 15 October 2018	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 2018/19 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.
Comments and complaints 2017/18	Joint Audit and Governance Committee 15 October 2018	Sally Truman Email: sally.truman@southandvale.gov.uk	The committee is responsible for monitoring the councils' comments and complaints.	To review the comments and complaints received during 2017/18	
Code of Conduct – annual report 2017/18	Joint Audit and Governance Committee 15 October 2018	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.	

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Risk Management Update	Joint Audit and Governance Committee 15 October 2018	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	
External auditor's annual audit letter	Joint Audit and Governance Committee 15 October 2018	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 2017/18	
Code of Conduct – annual report 2017/18	Joint Audit and Governance Committee 28 January 2019	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.	
External auditor's report on the certification of claims and returns 2017/18	Joint Audit and Governance Committee 28 January 2019	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	

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External auditor's audit planning reports 2018/19	Joint Audit and Governance Committee 28 January 2019	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	
Internal audit charter	Joint Audit and Governance Committee 28 January 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.	
Treasury management mid-year monitoring 2018/19	Joint Audit and Governance Committee 28 January 2019	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 2018/19 financial year.	
Treasury management strategies 2018/19	Joint Audit and Governance Committee 28 January 2019	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	

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Risk Management Update	Joint Audit and Governance Committee 25 March 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	
Internal audit plan 2019/20	Audit and Governance Committee 25 March 2019	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 25 March 2019	Richard Spraggett, Email: richard.spraggett@southandvale.gov.uk	To audit and review the policies and principles used when compiling the 2018/19 accounts.		