

Audit and Governance Work Programme

containing Joint Audit and Governance
Committee work to be undertaken
OCTOBER 2023 – JULY 2024



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
3 October 2023					
Local audit update	Joint Audit and Governance Committee 3 Oct 2023	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk	In response to the Secretary of States comments on local authority statement of accounts, to note the report on the proposed changes.		

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Information security audit	Joint Audit and Governance Committee 3 Oct 2023	Victoria Dorman-Smith, Internal Audit and Risk Manager, Simon Turner, IT Programmes Manager victoria.dorman-smith@southandvale.gov.uk, simon.turner@southandvale.gov.uk	The committee requested that the IT Programmes Manager present to the committee on the outstanding and high-risk items presented in the internal audit update report Q1 2023/24.	To review the outcomes of recent internal audit work and to ensure that timely actions are taken to manage risks effectively.	
Internal audit update report - Q2 2023/24	Joint Audit and Governance Committee 3 Oct 2023	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	The committee is responsible for monitoring internal audit work to ensure an adequate internal control environment.	The committee is asked to review the outcomes of recent internal audit work and to ensure that timely actions are taken to manage risks effectively.	

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Annual complaints report	Joint Audit and Governance Committee 3 Oct 2023	Mark Minion, Head of Corporate Services mark.minion@southandvale.gov.uk	The committee is responsible for reviewing the formal complaints received and performance in responding to complaints against timescales set out in the corporate complaints policy.	To review the complaints and performance in responding within the timescales set in the corporate complaints policy.	
Review of terms of reference for appointment of independent person	Joint Audit and Governance Committee 3 Oct 2023	Patrick Arran, Head of Legal and Democratic patrick.arran@southandvale.gov.uk	In response to the approval in principle of an independent person to the Joint Audit and Governance committee, that the terms of reference for this committee be reviewed.		
Corporate risk review	Joint Audit and Governance Committee 3 Oct 2023	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk	The committee agreed to receive regular progress reports on the Corporate risk register and implementation of the risk management framework.	To review and comment on progress.	
Treasury management outturn report - 2022/23	Joint Audit and Governance Committee 3 Oct 2023	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk	The committee is responsible for monitoring the councils' treasury management activity.	To consider the 2022/23 outturn report and make recommendations to Cabinet	

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30 October 2023					
Statement of accounts 2021/22	Joint Audit and Governance Committee October 2023	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk	Each year the committee must approve each council's statement of accounts and ensure they comply with the requirements of accounting practice.	The committee is asked to approve each council's statement of accounts and supporting documents for final sign-off by the committee's co-chairs and the councils' external auditor.	
30 January 2024					
Treasury management mid-year monitoring report 2023/24	Joint Audit and Governance Committee 30 Jan 2024	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk	The committee is responsible for the scrutiny of the councils' treasury management activity.	To review the councils' mid-year treasury management mid-year report.	
Treasury management strategy 2024/25	Joint Audit and Governance Committee 30 Jan 2024	Simon Hewings, Head of Finance simon.hewings@southandvale.gov.uk			

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Internal audit update report - Q3 2023/24	Joint Audit and Governance Committee 30 Jan 2024	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	The committee is responsible for monitoring internal audit work to ensure an adequate internal control environment.	The committee is asked to review the outcomes of recent internal audit work and to ensure that timely actions are taken to manage risks effectively.	
Regulation of Investigatory Powers Act 2000 (RIPA) annual review	Joint Audit and Governance Committee 30 Jan 2024	Patrick Arran, Head of Legal and Democratic patrick.arran@southandvale.gov.uk	To inform the Joint Audit and Governance Committee regarding the councils' use of directed surveillance and covert human intelligence sources during 2022 as required by the statutory code of practice.	To note the usage of RIPA during 2022. To approve the amendments to the RIPA policy. To agree conclusions in the report and support recommended actions.	
Health and Safety	Joint Audit and Governance Committee 30 Jan 2024	Mark Minion, Head of Corporate Services mark.minion@southandvale.gov.uk	The committee agreed to receive regular reports on health and safety.	To review and comment on progress.	

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26 March 2024					
Regulation of Investigatory Powers Act 2000 (RIPA) annual review	Joint Audit and Governance Committee 26 Mar 2024	Patrick Arran, Head of Legal and Democratic patrick.arran@southandvale.gov.uk	To inform the Joint Audit and Governance Committee regarding the councils' use of directed surveillance and covert human intelligence sources during 2022 as required by the statutory code of practice.	To note the usage of RIPA during 2022. To approve the amendments to the RIPA policy. To agree conclusions in the report and support recommended actions.	
Corporate risk review	Joint Audit and Governance Committee 26 Mar 2024	Tim Oruye, Head of Policy and Programmes tim.oruye@southandvale.gov.uk	The committee agreed to receive regular progress reports on the Corporate risk register and implementation of the risk management framework.	To review and comment on progress.	
Internal audit update report - Q4 2023/24	Joint Audit and Governance Committee 26 Mar 2024	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	The committee is responsible for monitoring internal audit work to ensure an adequate internal control environment.	The committee is asked to review the outcomes of recent internal audit work and to ensure that timely actions are taken to manage risks effectively.	

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Internal audit plan 2024/25	Joint Audit and Governance Committee 26 Mar 2024	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	The council audits its services through the internal audit service.	To approve the internal audit plan for 2024/25.	
July 2024					
Code of conduct annual report - 2023/24	Joint Audit and Governance Committee July 2024	Patrick Arran, Head of Legal and Democratic patrick.arran@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 operation of the code of conduct.	
Internal audit annual report 2023/24	Joint Audit and Governance Committee July 2024	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	To review the work of internal audit in 2023/24 and to consider the annual internal audit opinion.	To monitor the effectiveness of internal audit and to make recommendations for changes as necessary.	

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Internal audit update report - Q1 2024/25	Joint Audit and Governance Committee July 2024	Victoria Dorman-Smith, Internal Audit and Risk Manager victoria.dorman-smith@southandvale.gov.uk	The committee is responsible for monitoring internal audit work to ensure an adequate internal control environment.	The committee is asked to review the outcomes of recent internal audit work and to ensure that timely actions are taken to manage risks effectively.	