



Audit Committee Report

Report of: Director of Legal and Governance

Date: 21 July 2015

Subject: Work Programme

Author of Report: Dave Ross (0114 273 5033)

Summary:

The report provides details of a proposed work programme for the Committee to April 2016

Recommendations:

That the Committee:-

- (a) considers the Work Programme and identifies any further items for inclusion;
and
 - (b) approves the work programme.
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Background Papers: None

Category of Report: OPEN

Statutory and Council Policy Checklist

Financial Implications
NO Cleared by:
Legal Implications
NO Cleared by:
Equality of Opportunity Implications
NO Cleared by:
Tackling Health Inequalities Implications
NO
Human rights Implications
NO:
Environmental and Sustainability implications
NO
Economic impact
NO
Community safety implications
NO
Human resources implications
NO
Property implications
NO
Area(s) affected
NONE
Relevant Cabinet Portfolio Lead
Cabinet Member for Finance and Resources
Relevant Scrutiny Committee if decision called in
Not applicable
Is the item a matter which is reserved for approval by the City Council?
NO
Press release
NO

WORK PROGRAMME

1. Purpose of Report

1.1 To consider an outline work programme for the Committee for 2015/16 and to identify any further items for inclusion.

2. Work Programme

2.1 It is intended that there will be at least five meetings of the Committee during the year with three additional meetings arranged if required. The work programme is based around the attached terms of reference and includes some items which are dealt with at certain times of the year to meet statutory deadlines, such as the Annual Governance Report and Statement of Accounts, and other items requested by the Committee.

2.2 An outline programme to April 2016 is set out below and Members are asked to identify any further items for inclusion.

Date	Item	Author
24 September 2015	Report to those Charged with Governance (ISA 260)	Sue Sunderland (Director, KPMG)
24 September 2015	Statement of Accounts	Dave Phillips (Interim Director of Finance)
24 September 2015	Internal Audit Annual Report	Dave Phillips (Interim Director of Finance)
24 September 2015	Markets Service High Opinion Audit Report Update	Nalin Seneviratne (Director of Capital & Major Projects)/Andy Ward (Head of Markets)
24 September 2015	Information Commissioner's Office Consensual Data Protection Audit Report	John Curtis (Head of Information and Knowledge Management)
24 September 2015	Update on the Adult Social Care Change Programme	Eugene Walker/Laraine Manley (Interim Executive Directors, Resources and Communities)
24 September 2015	Update on actions to address the issues in the KPMG report on the review of Financial Support Processes in Adult Social Care	Eugene Walker (Interim Executive Director, Resources)

12 November 2015	Annual Audit Letter 2014/15	Sue Sunderland (Director, KPMG)
12 November 2015	Strategic Risk Management/ Corporate Risk Register	Richard Garrad (Corporate Risk Manager)
10 December 2015	(additional meeting if required)	
14 January 2016	Update on actions to address the issues in the KPMG report on the review of Financial Support Processes in Adult Social Care	Eugene Walker (Interim Executive Director, Resources)
14 January 2016	Update on the Adult Social Care Change Programme	Eugene Walker/Laraine Manley (Interim Executive Directors, Resources and Communities)
14 January 2016	Progress on Audit Reports with a High Opinion	Kayleigh Inman (Senior Finance Manager)
14 January 2016	Certification of Claims and Returns Annual Report 2014/15	Sue Sunderland (Director, KPMG)
14 January 2016	External Audit Plan 2015/16	Sue Sunderland (Director, KPMG)
11 February 2016	(additional meeting if required)	
10 March 2016	(additional meeting if required)	
14 April 2016	Annual Audit Fee Letter 2016/17	Sue Sunderland (Director, KPMG)
14 April 2016	Internal Audit Plan 2016/17	Kayleigh Inman (Senior Finance Manager)
14 April 2016	Audit Commission Report on Protecting the Protecting the Public Purse/Update on Counter fraud initiatives	Dave Phillips (Acting Director of Finance)
14 April 2016	International Auditing Standards – Compliance with Internal Control/counter Fraud	Dave Phillips (Acting Director of Finance)
14 April 2016	Strategic Risk Management/ Corporate Risk Register	Richard Garrad (Corporate Risk Manager)

3. **Recommendation**

3.1 That the Committee:-

- (a) considers the Work Programme and identifies any further items for inclusion;
and
- (b) approves the work programme.

Director of Legal and Governance

Audit Committee Terms of Reference (Revised February 2012)

- (1) To approve the Council's Statement of Accounts (which includes the Annual Governance Statement) in accordance with the Accounts and Audit Regulations 2003 as amended.
- (2) To consider and accept the Annual Letter from the Auditor or the Audit Commission in accordance with the Accounts and Audit Regulations 2003 as amended and to monitor the Council's response to any issues of concern identified.

Audit Activity

- (3) To consider the Chief Internal Auditor's annual report and opinion, and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- (4) To consider summaries of specific internal audit reports as requested.
- (5) To consider reports dealing with the management and performance of the internal audit service.
- (6) To consider any report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- (7) To consider specific reports as agreed with the external auditor.
- (8) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- (9) To liaise with the Audit Commission over the appointment of the Council's external auditor.

Regulatory Framework and Risk Management

- (10) To maintain an overview of the Council's Constitution in respect of contract procedure rules, financial regulations and codes of conduct and behaviour (except in relation to those matters which are within the Terms of Reference of the Standards Committee e.g. code of conduct and behaviour of Members).

- (11) To monitor the effective development and operation of risk management and corporate governance in the Council.
- (12) To monitor Council policies on “Raising Concerns at Work” and the anti-fraud and anti-corruption strategy and the Council’s complaints process.
- (13) To oversee the production of the Council’s Annual Governance Statement and monitor progress on any issues.
- (14) To consider the Council’s arrangements for corporate governance and any necessary actions to ensure compliance with best practice.
- (15) To consider the Council’s compliance with its own and other published standards and controls.

Accounts

- (16) To consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.

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