

PLANNED REPORTS TO AUDIT AND GOVERNANCE COMMITTEE 2020-2021

| | Report | Committee Date | Report Of | Comments |
|---|---|---|---|---|
| 1 | Audit Committee update | 26 March 2020* *26 March 2020 meeting did not take place due to Covid-19 restrictions | Grant Thornton | Circulated to the Committee 22 May 2020 |
| 2 | Informing the Audit Risk Assessment | 26 March 2020* | Grant Thornton | Circulated to the Committee 22 May 2020 |
| 3 | Update on Audit Matters from Public Sector Audit Appointments Limited | 26 March 2020* | Joint Report of Grant Thornton and the Executive Director Finance | Circulated to the Committee 22 May 2020 |
| 4 | Cipfa Section 151 Update and Review of the Financial Resilience Index | 26 March 2020* | Executive Director Finance | Circulated to the Committee 22 May 2020 |
| 5 | Review of the Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Statement and the Treasury Management Strategy Statement and Annual Investment Strategy Mid-Year Review Report | 26 March 2020* | Executive Director Finance | Presented to Council Dec 19 / Feb 20. Circulated to the Committee 22 May 2020 |
| 6 | Final Accounts – Accounting Policies and Action Plan | 26 March 2020* | Assistant Director of Finance | Circulated to the Committee 22 May 2020 |

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| 7 | Risk Based Verification – exempt item | 26 March 2020* | Assistant Director of Finance | Circulated to the Committee 22 May 2020 |
| 8 | Internal Audit Charter and Audit Plan | 26 March 2020* | Head of Audit & Governance | Circulated to Committee 23 June 2020 |
| 9 | Review of the Constitution and Scheme of Delegation for Officers | 26 March 2020* | Head of Audit & Governance | Deferred to October 2020 meeting |
| 10 | Review of Financial Guidance | 26 March 2020* | Head of Audit & Governance | Circulated to Committee 12 June 2020 |
| 11 | Pros & cons of Independent Members | 26 March 2020* | Head of Audit & Governance | Deferred to July 2020 Committee |
| | Private meeting of Internal and External Auditors and Committee members | Deferred to July 2020 meeting | | |
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| 1 | Role of the Audit Committee | 4 June 2020 ** | Grant Thornton | Presentation/training – postpone to later in the year |
| 2 | Audit Committee update | 4 June 2020 | Grant Thornton | Deferred to July 2020 Committee |
| 3 | RIPA Quarterly Report | 4 June 2020 | Assistant Director - Partnerships | Deferred to July 2020 Committee |
| 4 | Internal Audit Annual and Quarterly Update | 4 June 2020 | Head of Audit & Governance | Deferred to July 2020 Committee |

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| 5 | Public Sector Internal Audit Standards/Quality Assurance and Improvement Programme | 4 June 2020 | Head of Audit & Governance | Report circulated 3 June 2020 |
| 6 | Annual Governance Statement and Code of Corporate Governance | 4 June 2020 | Head of Audit & Governance | Requires approval defer to October 2020 to accompany statement of accounts |
| 7 | Counter Fraud Update | 4 June 2020 | Head of Audit & Governance | Defer to October 2020 Committee |
| 8 | Chair of Audit & Governance Committee's Annual Report | 4 June 2020 | Head of Audit & Governance | Report circulated 12 June 2020 |
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| 1 | Audit Committee update | 23 July 2020 (Meeting programme commences remotely) | Grant Thornton | Regular item |
| 2 | Audit Findings Report | 23 July 2020 | Grant Thornton | Deferred to October 2020 Committee |
| 3 | Management Representation Letter | 23 July 2020 | Grant Thornton | Deferred to October 2020 Committee |
| 4 | Annual Statement of Accounts | 23 July 2020 | Executive Director Finance | Deferred to October 2020 Committee |
| 5 | Risk Management Quarterly Update | 23 July 2020 | Assistant Director – Finance | |

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| 6 | RIPA Quarterly Report and Policy | 23 July 2020 | Assistant Director - Partnerships | Deferred from June 2020 Committee |
| 7 | Internal Audit Annual Report and Update | 23 July 2020 | Head of Audit & Governance | Deferred from June 2020 Committee |
| 8 | Pros and Cons of Independent Members | 23 July 2020 | Head of Audit & Governance | Deferred from June 2020 Committee |
| 9 | Modern Slavery and Human Trafficking Statement | 23 July 2020 | Assistant Director - Partnerships | To be circulated to Committee for comment in advance of submission to Cabinet for approval. |
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| 1 | Audit Findings Report | 29 October 2020 | Grant Thornton | Deferred from July 2020 Committee |
| 2 | Management Representation Letter | 29 October 2020 | Grant Thornton | Deferred from July 2020 Committee |
| 3 | Annual Statement of Accounts | 29 October 2020 | Executive Director Finance | Deferred from July 2020 Committee |
| 4 | Annual Governance Statement and Code of Corporate Governance | 29 October 2020 | Head of Audit & Governance | Deferred from June 2020 Committee |

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| 5 | Review of the Constitution and Scheme of Delegation for Officers | 29 October 2020 | Head of Audit & Governance | Deferred to October 2020 meeting |
| 6 | Internal Audit Quarterly Update | 29 October 2020 | Head of Audit & Governance | |
| 7 | Risk Management Quarterly Update | 29 October 2020 | Assistant Director – Finance | |
| 8 | Annual Treasury Outturn | 29 October 2020 | Executive Director Finance | |
| 9 | Local Government Ombudsman’s Annual Review and Report 2018/19 | 29 October 2020 | Assistant Director - People | |
| 10 | Counter Fraud Update | 29 October 2020 | Head of Audit & Governance | Deferred from July 2020 Committee |
| 11 | Review of the Proposed Investment in Property Funds | 29 October 2020 | Executive Director Finance | Referred from Corporate Scrutiny Committee |
| | Private meeting of Internal and External Auditors and Committee members | 29 October 2020 | | |
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| 1 | Annual Audit Letter | 11 February 2021 | Grant Thornton | |
| 2 | Internal Audit Quarterly Update | 11 February 2021 | Head of Audit & Governance | |
| 3 | Risk Management Quarterly Update | 11 February 2021 | Assistant Director – Finance | |
| 4 | Audit Committee Effectiveness | 11 February 2021 | Head of Audit & Governance | |

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| 5 | Modern Slavery and Human Trafficking Statement | 11 February 2021 | Assistant Director - Partnerships | |
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| 1 | Audit Committee update | 23 March 2021 | Grant Thornton | Regular Update |
| 2 | Fee Increase Letter | 23 March 2021 | Grant Thornton | |
| 3 | Audit Plan | 23 March 2021 | Grant Thornton | |
| 4 | Informing the Audit Risk Assessment | 23 March 2021 | Grant Thornton | |
| 5 | Review of the Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Statement and the Treasury Management Strategy Statement and Annual Investment Strategy Mid-Year Review Report | 23 March 2021 | Executive Director Finance | |
| 6 | Final Accounts – Accounting Policies and Action Plan | 23 March 2021 | Assistant Director of Finance | |
| 7 | Risk Based Verification – exempt item | 23 March 2021 | Assistant Director of Finance | |
| 8 | Internal Audit Charter and Audit Plan | 23 March 2021 | Head of Audit & Governance | |
| 9 | Review of the Constitution and Scheme of Delegation for Officers | 23 March 2021 | Head of Audit & Governance | |

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| 10 | Review of Financial Guidance | 23 March 2021 | Assistant Director Finance | |
| | Private meeting of Internal and External Auditors and Committee members | | | |

List of reports pre-circulated to the Committee during lockdown restrictions as only noting and endorsement are required, not approval:

| ITEM | MEETING DATE OF ENDORSEMENT / NOTING CONFIRMATION |
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| INTERNAL AUDIT | |
| Internal Audit Charter and Audit Plan | 23 July 2020 |
| Review of Financial Guidance | 23 July 2020 |
| Public Sector Internal Audit Standards/Quality Assurance and Improvement Programme | 23 July 2020 |
| Chair of the Audit Committee's Annual Report to Council | 23 July 2020 |
| FINANCE | |
| Audit Committee Update (Grant Thornton) | 23 July 2020 |
| Informing the Audit Risk Assessment | 23 July 2020 |
| Update on Audit Matters from Public Sector Audit Appointments Limited | 23 July 2020 |
| CIPFA Section 151 Update and Review of the Financial Resilience Index | 23 July 2020 |
| Review of the Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Statement and the Treasury Management Strategy Statement and Annual Investment Strategy Mid-Year Review Report | 23 July 2020 |
| Final Accounts – Accounting Policies and Action Plan | 23 July 2020 |
| Risk Based Verification – exempt item | 23 July 2020 |

The Portfolio Holder for Assets and Finance