

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

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		
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

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
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	

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.
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

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		
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	

5	Modern Slavery and Human Trafficking Statement	11 February 2021	Assistant Director - Partnerships	
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	

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
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