## AUDIT AND GOVERNANCE COMMITTEE – WORK PROGRAMME NOTE – all Meetings to commence at 2.00 p.m.

|   | Mtg. No.            | 1        | 2        | 3        | Dev. Mtg. | 4        | 5        | 6        | 1        |
|---|---------------------|----------|----------|----------|-----------|----------|----------|----------|----------|
| Committee Work Area                             | Contact<br>/ Author | 31.05.23 | 26.07.23 | 20.09.23 | 11.10.23  | 15.11.23 | 24.01.24 | 20.03.24 | 29.05.24 |
| Committee Arrangements                          |                     |          |          |          |           |          |          |          |          |
| Committee Work Programme                        | AS                  | Х        | Х        | Х        |           | Х        | Х        | Х        | Х        |
| Minutes/Actions Arising                         | DT                  | Х        | Х        | Х        |           | Х        | Х        | Х        | Х        |
| Review of Terms of Reference                    | AS                  |          |          |          | Х         |          |          |          |          |
| Committee Effectiveness Review                  | RW                  |          |          |          | Х         |          | Х        | Х        |          |
| Committee Annual Report                         | RW/AS               |          | X(D)     | X(F)     |           |          |          |          |          |
| CIPFA Audit Committee Guidance                  | RW                  |          |          |          |           |          | Х        |          |          |
| Internal Control and Governance Environment     |                     |          |          |          |           |          |          |          |          |
| Local Code of Corporate Governance              | SG/AS               |          |          |          |           |          | Х        |          |          |
| Annual Governance Review Process                | AS                  |          |          |          |           |          | Х        |          |          |
| Annual Governance Statement (Draft/Final)       | AS                  |          | X(D)     |          |           | X(F)     |          |          |          |
| AGS Action Plan Update                          | AS                  |          | Х        |          |           |          | Х        |          | Х        |
| Anti-Fraud                                      |                     |          |          |          |           |          |          |          |          |
| Annual Fraud Report                             | RW                  |          | X (Ex)   |          |           |          |          |          |          |
| Corporate Anti-Fraud Plan                       | RW                  |          |          |          |           |          |          | X (Ex)   |          |
| Corporate Anti-Fraud Strategy                   | RW                  |          |          |          |           |          |          | Х        |          |
| Corporate Fraud Team – Update Report            | RW                  |          |          |          |           | Х        |          | Х        |          |
| Corporate Risk Management                       |                     |          |          |          |           |          |          |          |          |
| Risk Management Policy & Strategy               | AS                  |          |          |          |           |          |          |          | Х        |
| Annual Risk Management Report                   | AS                  | Х        |          |          |           |          |          |          |          |
| Strategic Risk Register                         | AS                  | Х        | Х        | Х        |           | Х        | Х        | Х        | Х        |
| Internal Audit                                  |                     |          |          |          |           |          |          |          |          |
| Internal Audit Charter (Annual)                 | RW                  | Х        |          |          |           |          |          |          |          |
| Internal Audit Plan (Consultation / Draft Plan) | RW                  |          |          |          |           |          | Х        | Х        |          |

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| Committee Work Area  | Contact<br>/ Author | 31.05.23 | 26.07.23 | 20.09.23 | 11.10.23  | 15.11.23 | 24.01.24 | 20.03.24 | 29.05.24 |
| Internal Audit Progress Report   | RW                  |          | Х        |          |           | Х        |          | Х        |          |
| Internal Audit Annual Report (Interim / Final)                             | RW                  |          | X (I)    |          |           | X(F)     |          |          |          |
| IA Effectiveness Report / Update   | RW                  |          |          | Х        |           |          |          |          | Х        |
| Global IA Standards  | RW                  | Verbal   |          |          |           |          |          |          |          |
| External Audit (Grant Thornton)  |                     |          |          |          |           |          |          |          |          |
| Audit Finding Report (ISA260 Report)                                       | GT                  |          |          |          |           | Х        |          |          |          |
| External Audit Plan (2022/23)  | GT                  |          |          |          |           |          |          |          |          |
| Auditors Annual Report on 2022/23 VFM Arrangements                         | GT                  | Х        |          |          |           |          |          | Х        |          |
| External Audit Progress Report/Update                                      | GT                  | Х        | Х        | Х        |           | Х        | Х        | Х        | Х        |
| Financial Reporting and Accounts   |                     |          |          |          |           |          |          |          |          |
| Financial Regulations  | NC                  |          |          |          |           |          |          |          |          |
| Contract Procedure Rules   | NC/JL               |          |          |          |           | Х        |          |          |          |
| Medium Term Financial Strategy   | NC                  |          |          |          |           |          |          | Х        |          |
| BMBC 2022/23 Informing the Audit Risk Assessment Questionnaire             | NC/SL               |          |          |          |           | Х        |          |          |          |
| Statement of Accounts (Draft / Final)                                      | NC                  |          | X(D)     |          |           | X(F)     |          |          |          |
| Corporate Finance and Performance<br>Management & Capital Programme Update | NC                  |          |          | х        |           |          |          | Х        |          |
| Treasury Management Annual Report  | NC                  |          | Х        |          |           |          |          |          |          |
| Treasury Management Progress Report (inc. in the corporate finance update) | NC                  |          |          |          |           |          |          | Х        |          |
| Treasury Management Policy & Strategy Statement (inc. in the MTFS update)  | NC                  |          |          |          |           |          |          | Х        |          |
| Designated Schools Grant (inc. in the MTFS update)                         | NC                  |          |          |          |           |          |          | Х        |          |

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| Other Corporate Functions contributing to overall assurance programme to be determined: |                     |          |          |          |           |          |          |          |          |
| Update on Glassworks  | KMcA                |          | X (Ex)   | X(Ex)    |           |          |          |          |          |
| Information Governance and Cyber Security update (twice yearly)                         | SM/SW               | Х        |          |          |           | Х        |          |          |          |
| DPO Update (twice yearly)   | RW                  | Х        |          |          |           | Х        |          |          |          |
| Annual Health & Safety Report   | SD                  |          |          | Х        |           |          |          |          |          |
| Annual Sickness and PDR Report  | PQ                  |          |          | Х        |           |          |          |          |          |
| Annual Equality and Inclusion Report  | МН                  |          |          | Х        |           |          |          |          |          |
| Annual Customer Feedback Report and Annual Review Letter                                | KR/CD               |          |          | Х        |           |          |          |          |          |
| The People Strategy   | MP/PQ               |          |          | Х        |           |          |          |          |          |
| Confidential Reporting (Whistleblowing) Annual Report                                   | RW                  | Х        |          |          |           |          |          |          | Х        |
| Procurement (Annual)  | NC/JL               |          |          |          |           |          |          |          |          |
| Asset Management (Annual)   | КМс                 |          |          |          |           |          |          |          |          |
| Ethical Framework (Annual)  | MP/RW               |          |          |          |           |          |          |          |          |
| Partnerships (Annual)   | NC/RW               |          |          |          |           |          |          |          |          |
| Review of Peer Challenge Activity Across the Council                                    |                     |          |          |          |           |          |          | Х        |          |
| Constitution Review   | SG/CT               |          |          |          |           |          |          | Х        |          |
| DSG Grant/SEND Updates (quarterly)  | NS/SD               |          | X(Q4)    |          |           | X(Q1)    | X(Q2)    | X(Q3)    |          |
| Report of Monitoring Officer – LGSCO Case   | SG/KB               |          |          | Х        |           |          |          |          |          |

## **Strategic Risk Presentations**

| Risk                                      | SMT<br>Lead | 31.05.23 | 26.07.23 | 20.09.23 | 11.10.23<br>(Dev.<br>Mtg.) | 15.11.23 | 24.01.24 | 20.03.24 | 29.05.24 |
|---|-------------|----------|----------|----------|----------------------------|----------|----------|----------|----------|
| Health Protection Emergency               | JB          | Х        |          |          |                            |          |          |          |          |
| Safeguarding Children                     | CS          |          |          |          |                            | Х        |          |          |          |
| SEND                                      | CS          |          |          |          |                            | Χ        |          |          |          |
| Educational Outcomes Progress             | CS          |          |          |          |                            |          |          | Х        |          |
| Inclusive Economy                         | MO'N        |          |          | Х        |                            |          |          |          |          |
| Zero Carbon and Environmental Commitments | MO'N        |          |          | Х        |                            |          |          |          |          |
| Emergency Resilience                      | WP          |          | Х        |          |                            |          |          |          |          |
| Organisational Resilience                 | WP          |          | Х        |          |                            |          |          |          |          |
| Safeguarding Adults                       | WL          |          |          |          |                            |          | Х        |          |          |
| Responsibilities under the Care Act 2014  | WL          |          |          |          |                            |          | Х        |          |          |
| Partnership and Collaboration Governance  | NC          |          |          |          |                            |          |          | Х        |          |
| Financial Sustainability                  | NC          |          |          |          |                            |          |          |          | Х        |
| Threat of Fraud                           | NC          |          |          |          |                            |          |          |          | Х        |

## **Training / Awareness Sessions**

NOTE – Training session to commence at 1.00 p.m.

| Subject / Theme                             | Contact /<br>Author | 31.05.23 | 26.07.23 | 20.09.23 | 11.10.23<br>(Dev.<br>Mtg.) | 15.11.23 | 24.01.24 | 20.03.24 | 29.05.24 |
|---|---------------------|----------|----------|----------|----------------------------|----------|----------|----------|----------|
| Budget Training Session                     | NC/SL               |          |          |          |                            |          |          | Х        |          |
| Cyber Security Threat                       | SW/SM               |          |          | Х        |                            |          |          |          |          |
| Climate and Sustainability Commitments      | PC/SC               |          |          |          |                            |          |          |          |          |
| People Strategy                             | MP/PQ               |          |          |          |                            |          |          |          |          |
| Designated Schools Grant Safety Valve Prog. | JA/NS               |          |          |          |                            | Х        |          |          |          |
| Partnership Governance                      | NC/RW               |          |          |          |                            |          |          |          |          |
| MCA – Understanding the Finances            | GS/MT*              |          |          |          |                            |          |          |          |          |
| VFM   | NC                  |          |          |          |                            |          | Χ        |          |          |
| Transformation Programme (Digital)          | DR?                 |          | Х        |          |                            |          |          |          |          |
| Council Plan                                |                     |          |          |          |                            |          |          |          |          |
| New Corporate Assurance Team                |                     |          |          |          |                            |          | Х        |          |          |

<sup>\*</sup>GS – Gareth Sutton MT- Mike Thomas from SYCMA