

<b>AUDIT COMMITTEE</b>	AGENDA ITEM No. 9
<b>3 NOVEMBER 2014</b>	PUBLIC REPORT

Cabinet Member(s) responsible:	Councillor David Seaton, Resources Portfolio Holder	
Committee Member(s) responsible:	Councillor Matthew Lee, Chair of Audit Committee	
Contact Officer(s):	Karen Dunleavy, Governance Officer	☎ 452 233
	Steve Crabtree, Chief Internal Auditor	☎ 384 557

## WORK PROGRAMME

### 1. ORIGIN OF REPORT

- 1.1 This is a standard report to Audit Committee, which forms part of its agreed work programme. This standard report provides details of the Work Programme for the current municipal year 2014/15.

### 2. UPDATE

#### 2.1 Work Programme 2014/ 2015 (Appendix A)

The Work Programme is based on previous years agendas. It is also intended for the programme to be refreshed throughout the year in consultation with the Committee membership and senior officers to ensure that it remains relevant and up to date. In addition, any delays in reporting issues are recorded so that they do not drop off the committee agenda.

- 2.2 The Work Programme provides the opportunity to Audit Committee Members to review the list of items put forward throughout the year and to suggest any future agenda item for inclusion that falls within the remit of its terms of reference.
- 2.3 Training or briefing sessions for Members on specific aspects of the Audit Committee agenda are available throughout the year and will be arranged on request and will take place on a separate day to that of the Committee meeting.

## APPENDIX A

<b>DATE: 30 JUNE 2014</b>			
		<b>Section / Lead</b>	<b>Description</b>
Standard	Apologies for Absence		
Standard	Declarations of Interest		
Standard	Minutes of the Meeting Held on 24 March 2014	Democratic Services Karen Dunleavy	
	Internal Audit: Head of Internal Audit Opinion 2013 / 2014	Internal Audit Steve Crabtree	To receive, consider and endorse the annual report on Internal Audit activities for the year ended 31 March 2014
	Internal Audit: Review of Effectiveness	Internal Audit Steve Crabtree	To receive, consider and endorse the annual review of the effectiveness of Internal Audit for the year ended 31 March 2014 together with any associated action plan
	Compliance Team Annual Report 2013 / 2014	Governance Ben Stevenson	To receive, consider and endorse the annual report on the investigation of fraud and irregularities for the year ended 31 March 2014
	Use of Regulation of Investigatory Powers Act 2000 (RIPA)	Governance Ben Stevenson	To receive an update on the use of RIPA during the financial year, reporting activity when required.
	Draft Annual Governance Statement	Internal Audit Steve Crabtree	To receive, consider and endorse the draft Annual Governance Statement for the year ended 31 March 2014
	Budget Monitoring Report Final Outturn 2013 / 2014	Finance Steven Pilsworth	To receive, consider and endorse the final outturn position for the year ended 31 March 2014
	Draft Statement of Accounts 2013 / 2014	Finance Steven Pilsworth	To receive, consider and comment on the draft Statement of Accounts for the year ended 31 March 2014
Standard	Feedback report	Democratic Services Karen Dunleavy	
Standard	Work Programme 2014 / 2015	Democratic Services Karen Dunleavy	

### OTHER POSSIBLE AGENDA ITEMS

	Governance Reports	Governance Kim Sawyer	Major changes to governance arrangements, policies and procedures requiring approval. Examples would include updates to Financial Regulations or Contract Rules.
	Member Reports	Governance Kim Sawyer	Specific reports relating to the Members Code of Conduct and / or the Hearing Panel (sub-committee to the Audit Committee)

<b>DATE: 22 SEPTEMBER 2014</b>			
		<b>Section / Lead</b>	<b>Description</b>
Standard	Apologies for Absence		
Standard	Declarations of Interest		
Standard	Minutes of the Meeting Held on 30 June 2014	Democratic Services Karen Dunleavy	
	Risk Management: Strategic Risks	Growth and Regeneration Kevin Dawson	To receive details of the strategic risks impacting on the Council and the mitigating actions to address these.
	Use of Regulation of Investigatory Powers Act 2000 (RIPA)	Governance Ben Stevenson	To receive an update on the use of RIPA during the financial year, reporting activity when required.
	Audit of Statement of Accounts To Those Charged with Governance	Finance Steven Pilsworth	To receive the final Statement of Accounts for the year ended 31 March 2014 incorporating the Annual Governance Statement together with the annual report to those charged with governance following their scrutiny by External Audit
	Outcome of the Code of Conduct Review	Kim Sawyer	
Standard	Feedback Report	Democratic Services Karen Dunleavy	
Standard	Work Programme 2014 / 2015	Democratic Services Karen Dunleavy	

#### **OTHER POSSIBLE AGENDA ITEMS**

	Governance Reports	<a href="#">Governance Kim Sawyer</a>	Major changes to governance arrangements, policies and procedures requiring approval. Examples would include updates to Financial Regulations or Contract Rules.
	Member Reports	<a href="#">Governance Kim Sawyer</a>	Specific reports relating to the Members Code of Conduct and / or the Hearing Panel (sub-committee to the Audit Committee)

<b>DATE: 3 NOVEMBER 2014</b>			
		<b>Section / Lead</b>	<b>Description</b>
Standard	Apologies for Absence		
Standard	Declarations of Interest		
Standard	Minutes of the Meeting Held on 22 September 2014	Democratic Services Karen Dunleavy	
	Internal Audit: Mid Year Progress Report	Internal Audit Steve Crabtree	To receive an update on progress against the Annual Audit Plan together with details of any concerns
	Use of Consultants	Finance Steven Pilsworth	To receive an update on the Use of Consultants across the organisation
	Regulation of Investigatory Powers Act (2000)	Governance Ben Stevenson	To receive an update on the use of RIPA during the financial year, reporting activity when required.
	Treasury Management	Finance Steven Pilsworth	To receive an update on the policy and effectiveness of treasury management
Standard	Feedback Report	Democratic Services Karen Dunleavy	
Standard	Work Programme 2014 / 2015	Democratic Services Karen Dunleavy	

#### **OTHER POSSIBLE AGENDA ITEMS**

	Governance Reports	Governance Kim Sawyer	Major changes to governance arrangements, policies and procedures requiring approval. Examples would include updates to Financial Regulations or Contract Rules.
	Member Reports	Governance Kim Sawyer	Specific reports relating to the Members Code of Conduct and / or the Hearing Panel (sub-committee to the Audit Committee)

<b>DATE: 2 FEBRUARY 2015</b>			
		<b>Section / Lead</b>	<b>Description</b>
Standard	Apologies for Absence		
Standard	Declarations of Interest and Whipping Declarations		
Standard	Minutes of the Meeting Held on 3 November 2014	Democratic Services Karen Dunleavy	
	Regulation of Investigatory Powers Act (2000)	Governance Ben Stevenson	To receive an update on the use of RIPA during the financial year, reporting activity when required.
	External Audit: Report to Management	PwC	To receive and approve the External Audit report in relation to issues identified as part of their audit works
	External Audit: Annual Audit Letter	PwC	To receive and approve the External Audit report in relation to issues identified as part of their audit works
	External Audit: Grant Claims Annual Certification	PwC	To receive and approve the External Audit report in relation to issues identified as part of their audit works
Standard	Feedback Report	Democratic Services Karen Dunleavy	
Standard	Work Programme 2014 / 2015	Democratic Services Karen Dunleavy	

#### **OTHER POSSIBLE AGENDA ITEMS**

	Governance Reports	Governance Kim Sawyer	Major changes to governance arrangements, policies and procedures requiring approval. Examples would include updates to Financial Regulations or Contract Rules.
	Member Reports	Governance Kim Sawyer	Specific reports relating to the Members Code of Conduct and / or the Hearing Panel (sub-committee to the Audit Committee)

<b>DATE: 23 MARCH 2015</b>			
		<b>Section / Lead</b>	<b>Description</b>
Standard	Apologies for Absence		
Standard	Declarations of Interest and Whipping Declarations		
Standard	Minutes of the Meeting Held on 2 February 2015	Democratic Services Karen Dunleavy	
	Risk Management: Strategic Risks	Growth and Regeneration Kevin Dawson	To receive an update on the strategic risks for the Council
	Regulation of Investigatory Powers Act (2000)	Governance Ben Stevenson	To receive an update on the use of RIPA during the financial year, reporting activity when required.
	External Audit: Audit Plan	PwC	To receive and approve the External Audit Plan
	Internal Audit: Draft Internal Audit Plan 2015 / 2016	Internal Audit Steve Crabtree	To receive and approve the Internal Audit Plan 2015 / 2016
	Draft Annual Audit Committee Report	Democratic Services Karen Dunleavy	To receive the Draft Annual Audit Committee Report prior to submission to Council
	Effectiveness of the Audit Committee	Internal Audit Steve Crabtree	To receive an update on the effectiveness of the Audit Committee together with an Action Plan to address any shortcomings
*New*	Outcome of the Code of Conduct Review	Kim Sawyer	Outcome of second review following Audit Committee action point 22 September 2014
Standard	Feedback Report	Democratic Services Karen Dunleavy	Dependent on updates
Standard	Draft Work Programme 2015 / 2016	Democratic Services Karen Dunleavy	

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	Governance Reports	Governance Kim Sawyer	Major changes to governance arrangements, policies and procedures requiring approval. Examples would include updates to Financial Regulations or Contract Rules.
	Member Reports	Governance Kim Sawyer	Specific reports relating to the Members Code of Conduct and / or the Hearing Panel (sub-committee to the Audit Committee)