

**Audit Committee  
Work Programme**

<b>Meeting Date – Monday 6 March 2017, 2 pm (Report deadline Wednesday 22 February 2017)</b>				
Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Sources of Assurance	Janice Gotts / Courtney Brightwell	Deputy City Treasurer / Performance Manager	This report will set out how the Council is working to align it's sources of assurance (e.g. finance data, performance data, work force data) to have a single consistent view of organisational challenges.	25 mins
Risk and Resilience Strategy and Corporate Risk Register	Tom Powell	Head of Audit and Risk		30 mins
Emergent Internal Audit Plan 2017/18	Tom Powell	Head of Audit and Risk		30 mins
2016/17 Audit Plan	Grant Thornton	External Auditor		10 mins
Update Report and Emerging Issues	Grant Thornton	External Auditor		10 mins
Letters to the Chair of Audit Committee and Management	Grant Thornton	External Auditor		10 mins
Accounting Concepts and Policies, Critical Accounting Judgements and Key Sources of Estimation Uncertainty	Carol Culley	City Treasurer	Includes policies on which annual accounts to be reported in June are based.	5 mins
Outstanding Audit Recommendations Update	Tom Powell	Head of Audit and Risk	To provide the Committee with an update on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer	The Chair will discuss with members the possibility of establishing a sub group to look at the development of the Draft	10 mins

			Annual Governance report.	
ICT Whistleblowing Approach	Liz Treacy	City Solicitor	Part B Item – This item was previously considered at the 26 January 2017 meeting.	40 mins

<b>Meeting Date – Thursday 8 June 2017, 10am (Report deadline Friday 26 May 2017)</b>				
Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Head of Internal Audit Annual Opinion and Annual Internal Audit Report	Tom Powell	City Treasurer / Head of Audit and Risk	Will include annual review of the effectiveness of internal audit and outcome of External Quality Assessment.	45 mins
Draft Annual Governance Statement	Janice Gotts / Courtney Brightwell	Deputy City Treasurer / Performance Manager		30 mins
Register of Significant Partnerships Update	Janice Gotts / Courtney Brightwell	Deputy City Treasurer / Performance Manager	Invite to be sent to the Chair of MSCB; Strategic Lead - Waste, Recycling and Street Cleansing and relevant Executive Members.	45 mins
Treasury Management Outturn Report 2016/17	Carol Culley	City Treasurer		15 mins
Internal Audit Plan 2017/18	Tom Powell	Head of Audit and Risk	This report will include information on the external peer review of the Audit service.	15 mins
No/Limited Assurance Reports	Tom Powell	Head of Audit and Risk	This item is to be confirmed. These reports should be presented to the Committee by the relevant Directors and Executive Members. See minutes of 6 October 2016 AC/16/34.	
Anti Money Laundering Policy	Tom Powell	Head of Audit and Risk	This item had been considered at the meeting of 27 January 2017	5 mins
Outstanding Audit	Tom Powell	Head of Audit and	To provide the Committee with an update	

Recommendations Update		Risk	on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer		

<b>Meeting Date – Tuesday 27 June 2017, 10am (Report deadline Friday 16 June 2017)</b>				
Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Annual Accounts 2016/17	Carol Culley	City Treasurer	This will include the revised Annual Governance Statement	60 mins
Capital Outturn Report 2016/17	Carol Culley	City Treasurer		
Revenue Outturn Report 2016/17	Carol Culley	City Treasurer		
No/Limited Assurance Reports	Tom Powell	Head of Audit and Risk	This item is to be confirmed. These reports should be presented to the Committee by the relevant Directors and Executive Members. See minutes of 6 October 2016 AC/16/34.	
Highways Improvement – Update report	Kim Dorrington	Director of Highways	To receive progress report on the implementation of Internal Audit recommendations. See the minutes of the meeting of 6 October 2016, ref AC/16/35	
Outstanding Audit Recommendations Update	Tom Powell	Head of Audit and Risk	To provide the Committee with an update on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer		10 mins

<b>Meeting Date – Thursday 31 August 2017, 10am (Report deadline Friday 18 August 2017)</b>				
Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Annual Accounts 2016/17 and Letter of Representation	Carol Culley	City Treasurer		
Audit Findings Report 2016/17	Report of the External Auditor			
No/Limited Assurance Reports	Tom Powell	Head of Audit and Risk	This item is to be confirmed. These reports should be presented to the Committee by the relevant Directors and Executive Members. See minutes of 6 October 2016 AC/16/34.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer		10 mins
Annual Counter Fraud Report 2016/17	Tom Powell	Head of Audit and Risk		

<b>Meeting Date – Thursday 5 October 2017, 10am (Report deadline Friday 22 September 2017)</b>				
Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
No/Limited Assurance Reports	Tom Powell	Head of Audit and Risk	This item is to be confirmed. These reports should be presented to the Committee by the relevant Directors and Executive Members.	

			See minutes of 6 October 2016 AC/16/34.	
Outstanding Audit Recommendations Update	Tom Powell	Head of Audit and Risk	To provide the Committee with an update on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer		10 mins

**Meeting Date – Thursday 30 November 2017, 10am (Report deadline Friday 17 November 2017)**

Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Treasury Management Interim Report	Carol Culley	City Treasurer		
Outstanding Audit Recommendations Update	Tom Powell	Head of Audit and Risk	To provide the Committee with an update on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance and Scrutiny Support Unit		10 mins

**Meeting Date – Thursday 25 January 2018, 10am (Report deadline TBC)**

Item	Lead Officer	Position	Comments	Proposed time to be allocated on the agenda
Draft Annual Governance Statement	Janice Gotts / Courtney Brightwell	Deputy City Treasurer / Performance Manager		

Outstanding Audit Recommendations Update	Tom Powell	Head of Audit and Risk	To provide the Committee with an update on the implementation of internal audit recommendations for each Directorate.	
Work Programme and Recommendations Monitor	Lee Walker	Governance Officer		10 mins

<b>Items to be scheduled</b>			
Item	Lead Officer	Position	Comments
ICT Disaster Recovery Planning	Bob Brown	Chief Information Officer	6 monthly update report following consideration of this item at the meeting of 6 October 2016. See minute ref AC/16/36.

### Monitoring Previous Recommendations

This section of the report contains recommendations made by the Committee and responses to them indicating whether the recommendation will be implemented, and if it will be, how this will be done.

Date	Item	Recommendation	Response	Contact Officer
1 December 2016	AC/16/45 Corporate Complaints Process and Reporting	The Committee recommended that the formal complaints new policy and guidance be circulated to all members of the Council and local MPs when it is available in January 2017.	This information was circulated 24 January 2017.	Jill Meredith Performance and Governance Manager - People
26 January 2017	AC/17/03 Internal Audit Progress Report 2016/17	The Committee recommended that the revised reporting mechanism shall be reported to the Audit Committee.	A response to this recommendation has been requested and will be reported back to the Committee.	Carol Culley City Treasurer
26 January 2017	AC/17/03 Internal Audit Progress Report 2016/17	The Committee recommended that following consideration of the Annual Opinion of the Head of Audit and Risk Management and the Annual Governance Statement the Chair of the Audit Committee shall write to the Chief Executive to raise any concerns that the Committee may have.	These reports are listed for consideration at the meeting of 8 June 2017.	Lee Walker Governance Officer
26 January 2017	AC/17/03 Internal Audit Progress Report 2016/17	The Committee recommend that Children and Young People Children Scrutiny Committee and the Corporate Parenting Panel consider the reported increase in the number of the cases of	This recommendation has been forwarded to the Children and Young People Children Scrutiny Committee and the Corporate Parenting Panel.	Lee Walker Governance Officer

		Child Protection Plans with no visit recorded.		
26 January 2017	AC/17/07 Anti-Money Laundering Policy	To receive the amended draft policy at a future meeting of the Committee.	This item is listed for consideration at the meeting of 8 June 2017.	Lee Walker Governance Officer
26 January 2017	AC/17/10 ICT Whistleblowing Approach	<p>The Committee requested that the City Solicitor submit a further report for consideration by the Committee. This report will be more clear on the allegations and order of events and the personnel involved in decision-making, and review the current Whistleblowing Policy and in particular; the process where allegations were made about Internal Audit, and the role of Audit Committee in relation to Whistleblowing allegations.</p> <p>The Committee recommended that in addition to the requested review the report to be submitted by the City Solicitor shall include the recommendations that were made about Internal Audit and an update on their implementation;</p> <p>The Committee also recommended that the report should include a narrative on the lessons learnt from this investigation.</p>	This item is listed for consideration at the meeting of 6 March 2017.	Lee Walker Governance Officer

		That the Whistleblowing Policy be revised to take into account the issues addressed by the Audit Committee and then brought back to the Committee.		
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