

**Audit and Governance Committee**

Work Programme 2023/24



**Please note that the work programme is a ‘live’ document and subject to change at short notice. The information in this work programme is intended to be of strategic relevance.**

For general enquiries relating to the Council’s Scrutiny function, including this Committee’s work programme, please contact Hannah Whiting (Democratic Advisor) on 01752 305155.

| <b>Date of meeting</b> | <b>Agenda item</b>                  | <b>Reason for Consideration</b>  | <b>Responsible Cabinet Member /Officer</b> |
|------------------------|-------------------------------------|--|--|
| <b>25 July 2023</b>    | Internal Audit End of Year Report   | To consider the work undertaken by Devon Audit Partnership during 2022/23, and review the performance and effectiveness of the Internal Audit service and the audit opinion on the adequacy of the Authority’s internal control environment. | Brenda Davis                               |
|                        | Internal Audit Charter and Strategy | To consider the Internal Audit Charter and Strategy as part of the requirement of the Public Sector Internal Audit Standards to ensure they are consistent with the Definition of Internal Auditing, the Code of Ethics and the Standards.   | Brenda Davis                               |
|                        | Counter Fraud Annual Report         | To consider the work carried out during 2022/23 by the Counter Fraud Services Team at Devon Audit Partnership in order to counter fraudulent threats to the Council’s budget and reputation.   | Ken Johnson                                |
|                        | Annual Governance Statement         | To approve the Annual Governance Statement (statutory document required by Accounts and Audit Regulations).  | Ross Jago                                  |
|                        | Draft Statement of Accounts         | The Draft Statement of Accounts 2022/23 are being presented for approval.  | Carolyn Haynes                             |

| <b>Date of meeting</b>   | <b>Agenda item</b>                                 | <b>Reason for Consideration</b>   | <b>Responsible Cabinet Member /Officer</b> |
|--------------------------|--|---|--|
|                          | TM Outturn report                                  | To present the Treasury Management Outturn Report.  | Wendy Eldridge                             |
|                          | Health, Safety and Wellbeing Annual Report 2022/23 | To consider an annual report on Health, Safety and Wellbeing.   | Di Saunders-Brewer                         |
|                          | External Audit - Progress Report                   | To consider the Audit Progress Report from the Council's external auditor, Grant Thornton.                                  | Paul Dossett                               |
|                          | Risk Management Monitoring Report                  | To provide an update on the Council's Strategic and Operational Risks.  | Ross Jago                                  |
|                          | Report in the Public Interest – Thurrock Report    | To provide a brief update on a report in the public interest – Thurrock Report.   | David Northey                              |
|                          | Covid Grants for Business – DLUHC Report           | To provide a brief update on the DLUHC response with regards to the covid grants for business.                              | David Northey                              |
|                          | Constitutional Review – Outline Plan               | To present the outline plan.  | Ross Jago                                  |
| <b>5 September 2023</b>  | Constitutional Review                              | To provide feedback from the sub-group to the Committee and to make recommendations onto City Council on 18 September 2023. | Ross Jago                                  |
| <b>26 September 2023</b> | Internal Audit Progress Report                     | To note the findings in the report which provides Members with a position statement on audit work carried out.              | Louise Clapton                             |
|                          | Annual Information Governance Statement            |   | John Finch                                 |

| Date of meeting         | Agenda item                      | Reason for Consideration  | Responsible Cabinet Member /Officer          |
|-------------------------|----------------------------------|---|--|
|                         | Impact of the Election Act 2022  |   | Giles Perritt/<br>Glenda Favor –<br>Ankersen |
|                         | Audit Actions Review             | To provide the Committee with an update on the tracking of Audit recommendations from Grant Thornton and Devon Audit Partnership.   | Caroline Haynes                              |
|                         | External Audit – Progress Report | To consider the Audit Progress Report from the Council’s external auditor, Grant Thornton.  | Paul Dossett                                 |
|                         | Risk Management Strategy         |   | Ross Jago                                    |
|                         |                                  |   |  |
| <b>28 November 2023</b> | Internal Audit Half Year Report  | To consider the Council’s Internal Audit Half Year Report.  | Louise Clapton                               |
|                         | Counter Fraud Half Year Report   | Half year report to summarise the work carried out during the first 6 months of 2023/24 by the Counter Fraud Services Team.   | Ken Johnson                                  |
|                         | Treasury Management Strategy     | To set out the Treasury Management Strategy and include the Annual Investment Strategy, the Non-Treasury Management Investment Strategy and the Minimum Revenue Provision Statement.                            | Wendy Eldridge                               |
|                         | Capital Finance Strategy         | To set out the Capital Financing Strategy for 2024/25 (this is a requirement of The Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice for Treasury Management in Public Services.) | Wendy Eldridge                               |

| Date of meeting                      | Agenda item                                    | Reason for Consideration   | Responsible Cabinet Member /Officer |
|--------------------------------------|--|--|-------------------------------------|
|                                      | TM Mid-Year Review                             |  | Wendy Eldridge                      |
|                                      | External Audit – Auditor’s Annual Report 22/23 | To consider the Auditor’s Annual Report 22/23 from the Council’s external auditor, Grant Thornton. | Paul Dossett                        |
|                                      | External Audit – Audit Plan 21/22              | To consider the Auditor’s Audit Plan 21/22 from the Council’s external auditor, Grant Thornton.    | Paul Dossett                        |
|                                      | Strategic and Operational Risk Register        |  | Ross Jago                           |
|                                      |  |  |                                     |
| <b>16 January 2024</b>               | External Audit – Progress Report               | To consider the Audit Progress Report from the Council’s external auditor, Grant Thornton.         | Paul Dossett                        |
|                                      |  |  |                                     |
| <b>12 March 2024</b>                 | Internal Audit Plan 2024/25                    |  | Louise Clapton                      |
|                                      | Whistleblowing Policy                          | To consider the Whistleblowing Policy.   | Ken Johnson                         |
|                                      | TM Practices & Procedures                      | A review produced annually of practices and principles used to conduct TM activities.              | Wendy Eldridge                      |
|                                      | External Audit – Progress Report               | To consider the Audit Progress Report from the Council’s external auditor, Grant Thornton.         | Paul Dossett                        |
|                                      | External Audit - Audit Findings Report 22/23   | To consider the Audit Findings Report 22/23 from the Council’s External Auditor – Grant Thornton.  | Paul Dossett                        |
| <b>Items to be scheduled 2023/24</b> |  |  |                                     |

| Date of meeting                          | Agenda item  | Reason for Consideration   | Responsible Cabinet Member /Officer |
|--|--|--|-------------------------------------|
| 2023/24                                  | Disclosure and Barring Checks for Councillor's – Policy  | The Committee agreed that an addendum to the Disclosure and Barring Checks for Councillors Policy would be written to specify how the process for reviewing, discussing and managing DBS checks would take place – the addendum to the policy would be created in conjunction with the Audit and Governance Committee. |                                     |
| 2023/24                                  | <ul style="list-style-type: none"> <li>• Consultation with Southampton City Council results</li> </ul> | <ul style="list-style-type: none"> <li>• Identified for consideration at the July 2023 meeting.</li> </ul>   |                                     |
| <b>Items to be scheduled for 2024/25</b> |  |  |                                     |
| 2024/25                                  |  |  |                                     |
| 2024/25                                  |  |  |                                     |