



Audit and Standards Committee Forward Plan 2019/20 and 2020/21

If you would like to know more about our work programme, please get in touch with Lisa Andrews, Head of Audit & Financial Services, 01785 276402 or Lisa.Andrews@staffordshire.gov.uk

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
11 March 2019				
Annual Report of the Management of Complaints made under the Members' Code of Conduct Lead Officer: Ann-Marie Davidson				
New item: Review of the Effectiveness of Audit and Standards Committee Report of Director of Corporate Services Lead Officer: Debbie Harris				
External Audit Plan 2018/19 Report of Ernst & Young				
Staffordshire Pension Fund Audit Planning 2018-19 Report of Ernst & Young				
Local Government Audit Committee briefing Report of Ernst & Young				
Part Two: Cyber Essentials Update: Tracy Thorley/Natalie Morrisey			Follow up of uncompleted actions proposed at meeting on 30.10.18.	Item deferred from December meeting
Part Two (new item): Use of Data, Analytics and the Development of Continuous Controls Monitoring				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Report of Director of Corporate Services Lead Officer: Debbie Harris				
Forward Plan for the Audit and Standards Committee	All meetings			
Proposed changes to the Constitution	As required			
Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>)	As required			Part 2 items - Exemption paragraph 3.
12 June 2019				
Appointment of Independent Remuneration Panel Members 2019-20 Report of Director of Corporate Services Lead Officer: Ann-Marie Davidson				
Annual Information Governance Statement Report of Director of Corporate Services Lead Officer: Tracy Thorley, Head of Business Support & Compliance				
Code of Corporate Governance Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services				
Report of the Local Government and Social Care Ombudsman – Investigation into a complaint against Staffordshire County Council. Report of the Director of Corporate Services				
Internal Outturn Report 2018-19 Report of the County Treasurer Lead Officer: Debbie Harris				
Internal Audit Charter 2019 Report of the County Treasurer Lead Officer: Debbie Harris				
Internal Audit Plan 2019/20				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Report of the County Treasurer Lead Officer: Debbie Harris				
Correspondence received from Ernst & Young re audit fee 2019-2020				
Interim update report 2018/19 Report of Ernst & Young				
Local Government Audit Committee Briefing - Update Report of Ernst & Young.				
PART TWO EXEMPT Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas (<i>Part 2 of agenda</i>)				Part 2 Exempt items
New item: - Report of the Standards Panel Report of the Director of Corporate Services				
Forward Plan for the Audit and Standards Committee 2019/20 Lead Officer – Lisa Andrews Head of Audit & Financial Services	All meetings			
30 July 2019				
Annual Governance Statement 2018-19 Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Training on Statement of Accounts				
Statement of Accounts 2018-19 Presentation and Report of County Treasurer Lead Officer: Rachel Spain				
Report to those charged with Governance (ISA 260) a) Staffordshire County Council Report of Ernst & Young				
Report to those charged with Governance (ISA 260)				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
b) Staffordshire Pension Fund Report of Ernst & Young				
Forward Plan for the Audit and Standards Committee	All meetings			
New Item: Infrastructure + Risk Management Report of the Director of Corporate Services Lead Officer: Lisa Andrews/James Bailey				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).	As required			Part 2 items - Exemption paragraph 3.
PART TWO EXEMPT New Item Questions Arising from reports Circulated to Members outside the Agenda				
14 October 2019				
Local Government Social Care Ombudsman (LGSCO) investigation resulting in a formal report. Report of the Director of Corporate Services Lead Officer: Kate Bullivant				
Report to those Charged with Governance (ISA 260) – update Report of Ernst & Young				
Annual Audit letter 2018/19 Report of Ernst & Young				
Code of Conduct Report of the Director of Corporate Services				
National Fraud Initiative (2018) – Update Report of the County Treasurer				
Forward Plan for the Audit and Standards Committee	All meetings			
PART TWO EXEMPT SEND Joint Inspection – Initial Review				Part 2 items - Exemption paragraph

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Position Statement Report of the County Treasurer				
PART TWO EXEMPT Cyber Essentials Update: Tracy Thorley/Natalie Morrisey			Regular Update to members on simulation results	PART TWO EXEMPT Cyber Essentials Update: Tracy Thorley/Natalie Morrisey
PART TWO EXEMPT Update– Prisons and Approved Premises Team – Care Assessment and Management - Implementation of previous recommendations	October 2019		At its meeting on 24.9.18 Members asked that a further update be brought to the Committee in 12 months' time.	Update: Lead Officer: Ruth Martin – Safeguarding Team Manager
2 December 2019				
Report to Those Charged with Governance (ISA 260) Report of Ernst & Young				
Health, Safety and Wellbeing Performance Annual Report Report of Director of Corporate Services Lead Officer: Becky Lee				
Internal Audit Plan 2019/20 – Update Lead Officer: Debbie Harris				
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit and Standards Committee	All meetings			
PART TWO EXEMPT Internal Audit Special Investigations/Report of Limited Assurance/Top Ten Risk Areas				
PART TWO EXEMPT Update on Data Centre Environmental & Physical Security Controls – Implementation of previous recommendations				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
PART TWO EXEMPT Update on Approved Mental Health Professionals – Implementation of previous recommendations				
28 January 2020				
Appointment of Independent Member to Audit and Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Annual Audit Letter – 2018/19 Report of Ernst & Young				
Potential use of automation in audit and use of Artificial Intelligence Report of Ernst & Young	To be confirmed			
Local Government Sector Update Report of Ernst & Young				
Proposed changes to the Constitution As required	As required			
PART TWO EXEMPT Internal Audit Special Investigations/Report of Limited Assurance/Top Ten Risk Areas				
20 April 2020 - CANCELLED				
Strategic Risk Register - Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to 12 th October 2020			
Annual Report on Information Governance Report of the Director of Corporate Services Lead Officer: Tracy Thorley	Deferred to 12 th October 2020			
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to 12 th October 2020			

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Internal Audit Charter 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris	Deferred to 30 th July 2020			
Internal Audit Plan 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris	Circulated remotely for approval			
Development of an assurance framework Report of County Treasurer Lead Officer: Debbie Harris	Deferred to February 2021			
External Audit Plan 2019/20 Report of Ernst & Young	To be confirmed			
Staffordshire Pension Fund Audit Planning Report 2019/20 Report of Ernst & Young	To be confirmed			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews	All meetings			
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items)	As required			Part 2 items - Exemption paragraph 3.
PART TWO EXEMPT Cyber Essentials Update: Tracy Thorley/Natalie Morrisey	To be confirmed		Regular Update to members on Multi agency exercise in November 2019	
22 June 2020 - CANCELLED				
Code of Corporate Governance – Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services	Deferred to 30 th July 2020			
Internal Audit Outturn Report 2019/20 Report of the County Treasurer Lead Officer: Debbie Harris	Deferred to 30 th July 2020			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Report of the Standards Panel. Report of the Director of Corporate Services. Lead Officer: Ann-Marie Davidson	To be confirmed			
Local Government Audit Committee Briefing – update report of Ernst & Young	Deferred to 12 th October 2020			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit & Standards Committee Lead Officer: Lisa Andrews, Head of Audit & Financial Services	Deferred to 30 th July 2020			
PART TWO Exempt – Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas	Deferred to 30 th July 2020			
PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.	Deferred to 12 th October 2020			
PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations.	Deferred to 12 th October 2020			
PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.	Deferred to 12 th October 2020			
30 July 2020				
National Code of Conduct for Elected Members. Report of the Director of Corporate Services Lead Officer: Julie Plant				
Internal Audit Charter 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
Code of Corporate Governance – Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services				
Fraud Risks – The Impact of COVID 19 Presentation by Lisa Andrews & Debbie Harris				
Internal Audit Outturn Report 2019/20 Report of the County Treasurer Lead Officer: Debbie Harris				
Annual Governance Statement 2019-20 Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to 12 October 2020			
Training on Statement of Accounts	Deferred to 12 October 2020			
Statement of Accounts 2019-20 Presentation and Report of County Treasurer Lead Officer: Rachel Spain	Deferred to 12 October 2020			
Report to those charged with Governance (ISA 260) a) Staffordshire County Council Report of Ernst & Young	Deferred to 12 October 2020			
Report to those charged with Governance (ISA 260) b) Staffordshire Pension Fund Report of Ernst & Young	Deferred to 12 October 2020			
Local Government Audit Committee Briefing – update report of Ernst & Young	Deferred to 12 October 2020			
Proposed changes to the Constitution As required	As required			

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PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).	As required			
12 October 2020				
Annual Report on Information Governance Report of Director of Corporate Services Lead Officer: Tracy Thorley, Head of Business Support & Compliance & Natalie Morrissey, Information Governance Manager	Moved from April 2020			
Strategic Risk Register - Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Moved from April 2020			
National Fraud Initiative (2020) Report of the County Treasurer Lead Officer: Debbie Harris				
Annual Review of the effectiveness of the Audit & Standards Committee – Update Report of the Director of Corporate Services Lead Officer: Debbie Harris				
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Moved from April 2020			
Annual Governance Statement 2019-20 Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Moved from July 2020			
Training on Statement of Accounts	Moved from July 2020			
Statement of Accounts 2019-20 Presentation and Report of County Treasurer Lead Officer: Rachel Spain	Moved from July 2020			
Report to those charged with Governance (ISA 260) c) Staffordshire County Council Report of Ernst & Young	Moved from July 2020			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Report to those charged with Governance (ISA 260) d) Staffordshire Pension Fund Report of Ernst & Young	Moved from July 2020			
Local Government Audit Committee Briefing – update report of Ernst & Young	Moved from July 2020			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).				
PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.	Moved from July 2020			
PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations	Moved from July 2020			
PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.	Moved from July 2020			
8 December 2020 (2pm start)				
Health, Safety and Wellbeing Performance Annual Report Report of Director of Corporate Services Lead Officer: Becky Lee				
Internal Audit Plan 2019/20 – Update Report of the County Treasurer Lead Officer: Debbie Harris				

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Proposed changes to the Constitution As required				
Forward Plan for the Audit and Standards Committee Lead Officer – Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).				
9 February 2021				
External Audit Plan 2020/21 Report of Ernst & Young				
Staffordshire Pension Fund Audit Plan 2020/21 Report of Ernst & Young				
Development of an assurance framework Report of County Treasurer Lead Officer : Debbie Harris	Moved from April 2020			
Proposed changes to the Constitution As required				
Forward Plan for the Audit and Standards Committee Lead Officer – Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).				
12 April 2021				
Annual Report on Information Governance Report of the Director of Corporate Services Lead Officer: Tracy Thorley				
Annual Review of the effectiveness of the Audit & Standards Committee – Update Report of the Director of Corporate Services Lead Officer: Debbie Harris				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Internal Audit Charter 2021/22 Report of the County Treasurer Lead Officer Lisa Andrews				
Internal Audit Plan 2021/22 Report of the County Treasurer Lead Officer: Debbie Harris				
Proposed changes to the Constitution As required				
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items).				

<p>Membership</p> <p>Derek Davis, OBE Paul Northcott Alastair Little Richard Ford Martyn Tittley (Chairman) Carolyn Trowbridge (Vice- _____</p>	<p>Calendar of Future Committee Meetings (All meetings at 10.00 a.m. unless otherwise stated)</p> <p>20 April 2020 22 June 2020 30 July 2020</p>
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Ann Engeller Colin Greatorex Jill Hood David Williams	Chairman) Ross Ward Bernard Williams Victoria Wilson Susan Woodward	12 October 2020 8 December 2020 ****14:00 9 February 2021 21 April 2021
		Meetings usually take place at County Buildings, Martin Street, Stafford ST16 2LH