



Audit and Standards Committee Forward Plan June 2017 – March 2019

If you would like to know more about our work programme, please get in touch with Tina Gould, Scrutiny and Support Manager, 01785 276148 or tina.gould@staffordshire.gov.uk

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
	26 June 2017			
External Audit Plan Ernst & Young			Progress Report	VfM work was well progressed but more work needed on BCF and integration with wider health economy. Members asked to be kept informed on developments re business rates
Internal Audit Report of the Director of Finance and Resources			<ul style="list-style-type: none"> • Outturn Report 2016-17 • Audit Charter 2017 • Strategy and Plan 2017-18 	Adequate assurance judgement received on governance, risk and control framework; minor revisions to Internal Audit Charter were agreed and internal audit strategy and plan agreed. Members agreed the need for flexibility to address unplanned business.
SAP Replacement update Report of Director of Finance and Resources				Programme Manager explained the background to, governance and risk management associated with the new system and how elements of change would be managed.

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Code of Corporate Governance – 2017/18 Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources			Update on action plan	The new Code of Corporate Governance and resulting Action Plan were approved.
Procurement Regulations Report of the Director of Finance and Resources				The revised procurement regulations offered an enhanced level of robustness and were approved for inclusion in the constitution.
Induction training of the new Audit & Standards Committee				
	25 September 2017			
Statement of Accounts 2016/17 Report of Director of Finance and Resources			<ul style="list-style-type: none"> • County Council • Pension Fund 	The Committee received a presentation explaining the Statement of Accounts for 2016-17: how they are prepared, where public money is spent in Staffordshire, the accounting concepts and principals and technicalities around the balance sheet.
Annual Governance Statement 2016/17 Director of Strategy, Governance & Change & Director of Finance & Resources				The governance statement explained how the CC followed the corporate code of governance and met the requirements of Accounts and Audit Regulations 2015 in preparing the statement of accounts. Members discussed the

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				detail, understood that 2016-17 had been challenging in terms of MTFs and approved them.
Report to those charged with Governance Report of Ernst & Young				The report from External Auditors on how they conducted their audit and arrived at their conclusions was received.
Local Public Audit - Update Director of Finance & Resources				The Committee noted the sector led body procurement process for appointment of external auditors for the County Council from 2018-19. They asked to be advised of the level of audit fee over recent years.
Cyber Essentials Review Director of Finance and Resources			Exempt under paragraph 3 of LGA 1972	The Committee received a summary of the Internal Audit Review into the systems, controls and risks relating to the administration and control of processes for dealing with aspects deemed to have limited assurance. Members noted the progress against recommendations and asked for an update in March 2018.
	4 December 2017 meeting cancelled now 12 December			
Strategic Risk Register Director of Strategy Governance and Change and Director of Resources				Item deferred to 12 March 2018

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<p>Health, Safety and Wellbeing Performance Annual Report 2016/17</p> <p>Health, Safety and Wellbeing Manager</p>				<p>The report was received. Members requested that they receive emergency response and anti-terrorism training; that an update on mental wellbeing be provided to Members; that consideration be given to running Personal Resilience training to Members next year (NB arranged).</p>
<p>Annual Audit Letter 2016-17</p> <p>Report of Ernst & Young</p>				<p>The report was received and accepted.</p>
<p>Internal Audit Plan 2017-18 Annual Update</p> <p>Report of the Director of Finance and Resources</p>				<p>The report was received and accepted.</p>
<p>New item: Internal Audit External Quality Assessment</p> <p>Report of Director of Finance and Resources</p>				<p>The report was received and accepted.</p>
<p>New item: National Fraud Initiative (NFI) 2016/17 - Update</p>				<p>The report was received and accepted.</p>
	<p>12 March 2018</p>			
<p>Strategic Risk Register</p> <p>Director of Strategy Governance and Change and Director of Finance and Resources</p>				<p>Item deferred from 12 December 2017</p> <p>Item deferred to June 2018</p>

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Annual Information Governance Statement Head of Business Support			Annual report	Further information (for clarification) on Appendices C and D of Statement requested and on the drop in incidents reported in April and July 2017.
Review of the effectiveness of the Audit & Standards Committee (including feedback on outcome of Members' workshop on 12 February) Director of Finance and Resources			Members will receive a questionnaire from the Head of Audit and Financial Services. This item will take the form of a Workshop to be arranged in early February 2018 with feedback to the 12 March meeting.	Workshop took place on 12 February and outcomes fed into the Review of the effectiveness of Audit and Standards report. The Head of Audit and Financial Services agreed to investigate if there was any relevant information on the Better Governance Forum on benchmarking that could be shared with Members.
Annual Report of the Management of Complaints made under the Members' Code of Conduct Director of Strategy, Governance and Change			Annual statement	The Committee noted the report. The Community Infrastructure Manager be asked to share with Members best practice on how to spend their Divisional Highways Budgets.
External Audit Plan 2017/18 Report of Ernst & Young				The report was received. The Chairman to write to the Cabinet Member for Finance (with a copy to the Chair of the Pensions Board) regarding staffing resources within the Pensions Team.
Interim Update Report 2017/18 Report of Ernst & Young				Deferred to June 2018

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Local Government Sector Update Report Report of Ernst & Young				The report was received.
Part Two - Cyber Essentials - Limited Assurance Review – Presentation by the interim Head of ICT and Head of Business Support			Update against recommendations.	The report was received. It was agreed that a further update was required in due course.
New item: Part Two: Fairer Charging and Welfare Benefits – limited assurance report Report of the Director of Finance and Resources				The report was received.
Work Programme				A further meeting to be added to the Work Programme in May 2018.
	13 June 2018			
New item: Appointment of Independent Remuneration Panel Members 2018-19 Report of Director of Strategy Governance and Change Officer: Ann-Marie Davidson				
New item: Correspondence received from Ernst & Young re audit fee 2018-2019				
Internal Audit Plan 2018-				

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19 Report of the Director of Finance and Resources				
Internal Outturn Report 2017-18 Report of the Director of Finance and Resources				
Reports of Limited Assurance/Top ten Risks <i>(Part 2 of agenda)</i> Report of Director of Finance and Resources				
Audit Charter 2018 Report of Director of Finance and Resources				
Interim update report 2017/18 Report of Ernst & Young				
	30 July 2018			
Strategic Risk Register Joint Report of the Director of Strategy Governance and Change and Director of Finance and Resources				Deferred from 13 June 2018
Annual Governance Statement 2017-18 Report of Director of				

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Finance and Resources				
Statement of Accounts 2017-18 Report of Director of Finance and Resources				
Report to those charged with Governance (ISA 260) Report of Ernst & Young				
Code of Corporate Governance 2018/19 Joint Report of the Director of Strategy, Governance & Change and The Director of Finance & Resources				
Financial Regulations Report of the Director of Finance and Resources				
	24 September 2018			
Annual Audit Letter 2017-18 Report of Ernst & Young				
Local Government Sector Update Report Report of Ernst & Young				
New item: General Data Protection Regulation (GDPR) briefing/presentation Joint Report of the				

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Directors of Strategy, Governance and Change and Finance and Resources				
	30 October 2018			
Internal Audit Special Investigation/limited/ Top Risk Areas reports	As required			
	3 December 2018			
Health, Safety and Wellbeing Performance Annual Report 2017/18 Health, Safety and Wellbeing Manager			Annual update	
Part Two - Cyber Essentials Update – Presentation by the interim Head of ICT and Head of Business Support			At their meeting on 12 March 2018 Members requested a further update	
	29 January 2019			
Internal Audit Special Investigation/limited/ Top Risk Areas reports	As required			
	11 March 2019			
Work programme for the Audit and Standards Committee	All meetings			
Proposed changes to the Constitution	As required			

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Internal Audit Special Investigation/limited/ Top Risk Areas reports	As required			
Other items:				

Membership

Derek Davis, OBE
Mike Davies
Michael Greatorex
Martyn Tittley (Chairman)
David Brookes
Colin Greatorex
Syed Hussain
Ian Lawson

Paul Northcott
Jeremy Oates
Carolyn Trowbridge
(Vice-Chairman)
Ross Ward
Bernard Williams
Victoria Wilson
Jill Hood

Calendar of Committee Meetings

(All meetings at 10.00 a.m. unless otherwise stated)

26 June 2017
25 September 2017
4 December 2017 – meeting cancelled
12 December 2017
12 March 2018
13 June 2018
30 July 2018
24 September 2018
30 October 2018
3 December 2018 at 2.00 p.m.
29 January 2019
11 March 2019

Meetings usually take place at County Buildings, Martin Street, Stafford ST16 2LH