

## Audit and Standards Committee Forward Plan 2018/19

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](mailto:tina.gould@staffordshire.gov.uk)

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
	<b>12 March 2018</b>			
Strategic Risk Register Director of Strategy Governance and Change and Director of Finance and Resources				Item deferred from 12 December 2017  Item deferred to June 2018
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.

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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
Local Government Sector Update Report  Report of Ernst & Young				The report was received.
<b>Part Two</b> - 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.
<b>New item: Part Two:</b> Fairer Charging and Welfare Benefits – limited assurance report Report of the Director of				The report was received.

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Finance and Resources				
Forward Plan				A further meeting to be added to the Work Programme in May 2018.
	<b>13 June 2018</b>			
<b>New item:</b> Appointment of Independent Remuneration Panel Members 2018-19 Report of Director of Strategy Governance and Change Officer: Ann-Marie Davidson				Councillors Trowbridge, Brookes, Oates, Wilson and Davis were appointed to the Panel.
<b>New item:</b> Correspondence received from Ernst & Young re audit fee 2018-2019				The correspondence was received.
Internal Audit Plan 2018-19 Report of the Director of Finance and Resources				The report was received.
Internal Outturn Report 2017-18 Report of the Director of Finance and Resources				Part 2 item - Exemption paragraph 3.
Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas ( <i>Part 2 of agenda</i> ) Report of Director of Finance and Resources				Part 2 items - Exemption paragraph 3.

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Audit Charter 2018  Report of Director of Finance and Resources				The report was received.
Interim update report 2017/18 Report of Ernst & Young				The report was received.
	<b>30 July 2018</b>			
Strategic Risk Register Joint Report of the Director of Strategy Governance and Change and Director of Finance and Resources Lead officer: Lisa Andrews			Deferred from 13 June 2018	a) That the Chairman ask the Chairman of the Corporate Review Committee/Chair of the MTFS Working Group to consider if the Council was getting value for money from its commercial contracts. b) That the Internal Audit Top Ten Risk Areas be added to the Forward Plan (see below)
Annual Governance Statement 2017-18 Report of Director of Finance and Resources Lead officer: Lisa Andrews				a) That the report is approved. b) That the Significant Control Issues listed in the AGS Supporting Paper 2 are added to the Audit and Standards Committee Work Plan in a timely manner.
Statement of Accounts 2017-18 Presentation and Report of Director of Finance and Resources Lead officer: Rachel Spain				Members approved the 2017/2018 Statement of Accounts; b) That the Committee approve the two management representation letters attached to the covering report.
Report to those charged with Governance (ISA 260)				Members gave approval to the Chairman to sign Appendix D, the management representation letter.

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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 Lead officer: Lisa Andrews				The Committee approved the Annual Governance Statement.
Financial Regulations  Report of the Director of Finance and Resources Lead officer: Rachel Spain				That the Committee recommend the County Council approve the revised Financial Regulations for inclusion in the Constitution.
Internal Audit – Special Investigations/Limited Assurance reports/Top ten risk areas (Part 2) Report of the Director of Finance and Resources Lead officer: Debbie Harris				Part 2 items – Exempt paragraph 3
	<b>24 September 2018</b>			
Annual Audit Letter 2017-18 Report of Ernst & Young				The Head of Internal Audit and Financial Services agreed to ask the Deputy Director of Finance and Resources if all leases were fully documented and report back to Members. (Information forwarded to Members on

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				29.10.18
Local Government Sector Update Report Report of Ernst & Young				The Head of Internal Audit and Financial Services agreed to request a written response to the Key Questions in the Local Government Sector Update report b) Ernst & Young to report back on the question regarding interest rates. Information forwarded to Members 22.10.18.
<b>New item:</b> General Data Protection Regulation (GDPR) Joint Report of the Directors of Strategy, Governance and Change and Finance and Resources Lead officers: Tracey Thorley/Vic Falcus			Report of Substantial Assurance	a) The Chairman to ask all Members to undertake GDPR training (Information shared with Members) b) that feedback on the training be evaluated and a decision taken regarding future training c) that consideration be given to auditing the implementation of GDPR (and DPA) across the Council.
<b>New item:</b> National Fraud Initiative 2018/19 Report of Director of Finance and Resources Report author: Debbie Harris			New criteria and processes	That the previous year's fraud recovery figures be circulated to Members. (Information sent to Members).
<b>New item:</b> Amendments to the Risk Register Lead officer: Lisa Andrews (other officers to be advised)			The Chairman requested that lead officers be invited to discuss any amendments with the Committee	Item deferred to future meeting.
	<b>30 October 2018</b>			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
<b>New item:</b> Pensions Pooling Arrangements - Development of an Assurance Framework Report of the Director of Finance and Resources Lead officer: Debbie Harris			Item proposed by Chairman	The report was received.
Internal Audit Special Investigation/limited/ Top Ten Risk Areas reports Report of Director of Finance and Resources Lead officer: Debbie Harris	As required			
<b>New item:</b> CIPFA Publication on the Effectiveness of Audit Committees – implications for Staffordshire County Council Report of Director of Finance and Resources Lead officer: Debbie Harris				Consideration be given to revision of the Terms of Reference of the Audit and Standards Committee – report to be brought to 3 December meeting.
	<b>3 December 2018</b>			
Health, Safety and Wellbeing Performance Annual Report 2017/18 Report of Director of Strategy, Governance and Change Lead Officer: Becky Lee			Annual update	The report was noted and the 2018/19 Work Plan agreed.

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
<b>Part Two</b> - Cyber Essentials Update – Presentation by the interim Head of ICT and Head of Business Support Lead officers: Vic Falcus and Tracy Thorley			At their meeting on 12 March 2018 Members requested a further update	Item deferred to January 2019.
<b>New item:</b> Fighting Fraud and Corruption Locally checklist Lead officer: Debbie Harris				The self-assessment by the Internal Audit Service was noted and the Council's zero tolerance approach to combatting fraud locally was endorsed.
<b>New item:</b> Review of Audit and Standards Committee Terms of Reference Lead officer: Debbie Harris			Item proposed following consideration of CIPFA Guidance for Local Authority Audit Committees on 30.10.18	Proposed revisions to the Constitution were approved. Amendments to the Constitution would be put before full Council in December 2018. (Mrs Woodward recorded as not supporting the above recommendations).
<b>New item:</b> Update on Internal Audit Plan 2018/19 Lead officer: Debbie Harris				Progress against the 2018/19 Internal Audit Plan and amendments to the original plan were noted. Progress on the implementation of high level standards made since the introduction of the Audit Management System in May 2016 was noted.
Amendments to the Risk Register Lead officer: Lisa Andrews (other officers to be advised)			Item deferred from September meeting.	The report was noted.
	<b>29 January</b>			



Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
	<b>2019 meeting cancelled</b>			
Part Two: Cyber Essentials Update: Tracy Thorley/Natalie Morrissey			Follow up of uncompleted actions proposed at meeting on 30.10.18.	Items deferred to March meeting.
Internal Audit Special Investigation/limited/ Top Risk Areas reports Report of Director of Finance and Resources Lead officer: Debbie Harris	As required			
	<b>11 March 2019</b>			
Annual Report of the Management of Complaints made under the Members' Code of Conduct Lead Officer: Ann-Marie Davidson				
<b>New item:</b> Review of the Effectiveness of Audit and Standards Committee Officer: Debbie Harris				
External Audit Plan 2018/19 Report of Ernst & Young				
Local Government Audit Committee briefing Report of Ernst & Young				
Part Two: Cyber Essentials Update: Tracy Thorley/Natalie Morrissey			Follow up of uncompleted actions proposed at meeting on 30.10.18.	Item deferred from December meeting

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Part Two (new item): Use of Data, Analytics and the Development of Continuous Controls Monitoring  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	As required			
<b>Other items:</b> Potential use of automation in audit			Item proposed by Chairman (refer to external audit)	
<b>Strategic Risk Register: Top Ten Risk Areas:</b>  1. Medium Term Financial Strategy – Delivery Plan  2. Digital Development Programme  3. Strategic Property Asset Management and Governance  4. Liberata Payroll System  5. Care Director (Adults and Children's modules)	As required			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
6. Adults and Children's Financial Services Review Programme  7. Home and Community Care Contract  8. Cyber Assurance Data Breach Incidents & Response Plans/Patch Management  9. GDPR  10. Children and Families Systems Transformation: Family Support Contracts				
Internal Audit Special Investigation – Prisons and Approved Premises Team – Care Assessment and Management	September 2019		At its meeting on 24.9.18 Members asked that a further update be brought to the Committee in 12 months' time.	

### Membership

Derek Davis, OBE  
 Mike Davies  
 Michael Greatorex  
 Martyn Tittley (Chairman)  
 David Brookes  
 Colin Greatorex  
 Jill Hood

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

### 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

Ian Lawson	Susan Woodward	<div> <div>30 July 2018</div> <div>24 September 2018</div> <div>30 October 2018</div> <div>3 December 2018 at 2.00 p.m.</div> <div>29 January 2019</div> <div>11 March 2019</div> <div>12 June 2019</div> <div>30 July 2019</div> </div> <div>Meetings usually take place at County Buildings, Martin Street, Stafford ST16 2LH</div>
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