



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

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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				
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				
Strategic Risk Register - Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Annual Information Governance Statement Report of the Director of Corporate Services Lead Officer: Tracy Thorley				
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews				

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Internal Audit Charter 2020/21 Report of the County Treasurer Lead Officer Lisa Andrews				
Internal Audit Plan 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris				
Development of an assurance framework Report of County Treasurer Lead Officer: Debbie Harris				
External Audit Plan 2019/20 Report of Ernst & Young				
Staffordshire Pension Fund Audit Planning Report 2019/20 Report of Ernst & Young				
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			Regular Update to members on Multi agency exercise in November 2019	
22 June 2020				
Appointment of Independent Remuneration Panel Members 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				

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Code of Corporate Governance – Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services				
Internal Audit Outturn Report 2019/20 Report of the County Treasurer Lead Officer: Debbie Harris				
Report of the Standards Panel. Report of the Director of Corporate Services. Lead Officer: Ann-Marie Davidson				
Interim update report 2019/20 Report of Ernst & Young				
Local Government Audit Committee Briefing – update report of Ernst & Young				
Proposed changes to the Constitution As required				
Forward Plan for the Audit & Standards Committee Lead Officer: Lisa Andrews, Head of Audit & Financial Services				
PART TWO Exempt – Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas				
PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.				
PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations.				
PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.				

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Annual Governance Statement 2019-20 Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Training on Statement of Accounts				
Statement of Accounts 2019-20 Presentation and Report of County Treasurer Lead Officer: Rachel Spain				
Report to those charged with Governance (ISA 260) c) Staffordshire County Council Report of Ernst & Young				
Report to those charged with Governance (ISA 260) d) Staffordshire Pension Fund Report of Ernst & Young				
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 October 2020				
National Fraud Initiative (2020) Report of the County Treasurer				
Annual Review of the effectiveness of the Audit & Standards Committee – Update Report of the Director of Corporate Services Lead Officer: Debbie Harris				
Forward Plan for the Audit and Standards Committee				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Lead Officer: Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports <i>(Part 2 items)</i> .				
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 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 <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				
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> .				

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Annual Information Governance Statement 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				
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).				

Membership

Derek Davis, OBE	Paul Northcott
Alastair Little	Richard Ford
Martyn Tittley (Chairman)	Carolyn Trowbridge (Vice-Chairman)
Ann Engeller	

Calendar of Future Committee Meetings (All meetings at 10.00 a.m. unless otherwise stated)

20 April 2020
22 June 2020
30 July 2020
12 October 2020

Colin Greateorex
Jill Hood
David Williams

Ross Ward
Bernard Williams
Victoria Wilson
Susan Woodward

8 December 2020 ****14:00
9 February 2021
21 April 2021

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