

## Audit and Standards Committee Forward Plan 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](mailto:Lisa.Andrews@staffordshire.gov.uk)

| Item and lead officer  | Date of meeting                                 | Links with Council strategic commissioning priorities | Detail | Action/Outcome |
|--|---|---|--------|----------------|
| <b>20 April 2020 - CANCELLED</b>   |   |   |        |                |
| Strategic Risk Register - Update<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews                             | Deferred to<br>December<br>2020                 |   |        |                |
| Annual Report on Information Governance<br>Report of the Director of Corporate Services<br>Lead Officer: Tracy Thorley                     | Deferred to<br>12 <sup>th</sup> October<br>2020 |   |        |                |
| Annual Report of the work of the Audit & Standards Committee<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews | Deferred to<br>April 2021                       |   |        |                |
| Internal Audit Charter 2020/21<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris  | Deferred to<br>30 <sup>th</sup> July<br>2020    |   |        |                |
| Internal Audit Plan 2020/21<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris   | Circulated<br>remotely for<br>approval          |   |        |                |
| Development of an assurance framework<br>Report of County Treasurer<br>Lead Officer: Debbie Harris   | Deferred to<br>February<br>2021                 |   |        |                |
| External Audit Plan 2019/20<br>Report of Ernst & Young   | To be<br>confirmed                              |   |        |                |

| Item and lead officer   | Date of meeting                           | Links with Council strategic commissioning priorities | Detail  | Action/Outcome                        |
|---|---|---|---|---------------------------------------|
| Staffordshire Pension Fund Audit Planning Report 2019/20<br>Report of Ernst & Young   | To be confirmed                           |   |   |                                       |
| Proposed changes to the Constitution As required  | As required                               |   |   |                                       |
| Forward Plan for the Audit and Standards Committee<br>Lead Officer: Lisa Andrews  | All meetings                              |   |   |                                       |
| PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports<br>(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 |                                       |
| <b>22 June 2020 - CANCELLED</b>   |   |   |   |                                       |
| Code of Corporate Governance – Update Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews Head of Audit and Financial Services | Deferred to 30 <sup>th</sup> July 2020    |   |   |                                       |
| Internal Audit Outturn Report 2019/20<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris  | Deferred to 30 <sup>th</sup> July 2020    |   |   |                                       |
| Report of the Standards Panel.<br>Report of the Director of Corporate Services.<br>Lead Officer: Ann-Marie Davidson                                   | To be confirmed                           |   |   |                                       |
| Local Government Audit Committee Briefing – update report of Ernst & Young  | Deferred to 12 <sup>th</sup> October 2020 |   |   |                                       |
| Proposed changes to the Constitution As required  | As required                               |   |   |                                       |
| Forward Plan for the Audit & Standards Committee<br>Lead Officer: Lisa Andrews, Head of Audit &   | Deferred to 30 <sup>th</sup> July 2020    |   |   |                                       |

| Item and lead officer  | Date of meeting                           | Links with Council strategic commissioning priorities | Detail | Action/Outcome |
|--|---|---|--------|----------------|
| Financial Services   |   |   |        |                |
| PART TWO Exempt – Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas  | Deferred to 30 <sup>th</sup> July 2020    |   |        |                |
| PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.  | Deferred to 12 <sup>th</sup> October 2020 |   |        |                |
| PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations.   | Deferred to 12 <sup>th</sup> October 2020 |   |        |                |
| PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.   | Deferred to 12 <sup>th</sup> October 2020 |   |        |                |
| <b>30 July 2020</b>  |   |   |        |                |
| National Code of Conduct for Elected Members. Report of the Director of Corporate Services<br>Lead Officer: Julie Plant                                  |   |   |        |                |
| Internal Audit Charter 2020/21<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris  |   |   |        |                |
| Forward Plan for the Audit and Standards Committee<br>Lead Officer: Lisa Andrews   |   |   |        |                |
| Code of Corporate Governance – Update<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews Head of Audit and Financial Services |   |   |        |                |
| Fraud Risks – The Impact of COVID 19<br>Presentation by Lisa Andrews & Debbie Harris   |   |   |        |                |
| Internal Audit Outturn Report 2019/20  |   |   |        |                |

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|---|-----------------------------------|---|--------|----------------|
| Report of the County Treasurer<br>Lead Officer: Debbie Harris   |                                   |   |        |                |
| Annual Governance Statement 2019-20<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews   | Deferred to<br>12 October<br>2020 |   |        |                |
| Training on Statement of Accounts   | Deferred to<br>12 October<br>2020 |   |        |                |
| Statement of Accounts 2019-20<br>Presentation and Report of County Treasurer<br>Lead Officer: Rachel Spain  | Deferred to<br>12 October<br>2020 |   |        |                |
| Report to those charged with Governance (ISA 260)<br>a) Staffordshire County Council<br>Report of Ernst & Young   | Deferred to<br>12 October<br>2020 |   |        |                |
| Report to those charged with Governance (ISA 260)<br>b) Staffordshire Pension Fund<br>Report of Ernst & Young   | Deferred to<br>12 October<br>2020 |   |        |                |
| Local Government Audit Committee Briefing –<br>update report of Ernst & Young   | Deferred to<br>12 October<br>2020 |   |        |                |
| Proposed changes to the Constitution As<br>required   | As required                       |   |        |                |
| PART TWO EXEMPT Internal Audit Special<br>Investigation/limited/ Top Risk Areas reports<br>(Part 2 items).  | As required                       |   |        |                |
| <b>12 October 2020</b>  |                                   |   |        |                |
| Annual Report on Information Governance<br>Report of Director of Corporate Services<br>Lead Officer: Tracy Thorley, Head of Business<br>Support & Compliance & Natalie Morrissey,<br>Information Governance Manager | Moved from<br>April 2020          |   |        |                |

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|---|----------------------------|---|--------|----------------|
| Code of Conduct for Members - Report on the Management of Complaints<br>Report of Director of Corporate Services<br>Lead Officer: Julie Plant |                            |   |        |                |
| Member's Family Policy<br>Report of Director of Corporate Services<br>Lead Officer: Chris Ebberley  |                            |   |        |                |
| National Fraud Initiative (2020)<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris   |                            |   |        |                |
| Final Accounts 2019/20 Progress Report – verbal 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<br>Lead Officer: Lisa Andrews  |                            |   |        |                |
| PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports ( <i>Part 2 items</i> ).                                 | As required                |   |        |                |
| PART TWO Exempt Update on Property Governance – 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       |   |        |                |
| <b>8 December 2020 (2pm start)</b>  |                            |   |        |                |
| Annual Governance Statement 2019-20<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews                             | Moved from 12 October 2020 |   |        |                |
| Training on Statement of Accounts   | Moved from 12 October      |   |        |                |

| Item and lead officer   | Date of meeting                  | Links with Council strategic commissioning priorities | Detail | Action/Outcome |
|---|----------------------------------|---|--------|----------------|
|   | 2020                             |   |        |                |
| Statement of Accounts 2019-20<br>Presentation and Report of County Treasurer<br>Lead Officer: Rachel Spain  | Moved from<br>12 October<br>2020 |   |        |                |
| Report to those charged with Governance (ISA 260)<br>a) Staffordshire County Council<br>Report of Ernst & Young   | Moved from<br>12 October<br>2020 |   |        |                |
| Report to those charged with Governance (ISA 260)<br>b) Staffordshire Pension Fund<br>Report of Ernst & Young   | Moved from<br>12 October<br>2020 |   |        |                |
| Strategic Risk Register – Update<br>Review of COVID 19 Incident Management<br>Team – lessons learnt exercise.<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews/ Katie Weston   |                                  |   |        |                |
| Internal Audit Plan 2020/21 – Update<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris   |                                  |   |        |                |
| Proposed changes to the Constitution  | As required                      |   |        |                |
| Forward Plan for the Audit and Standards<br>Committee<br>Lead Officer – Lisa Andrews  |                                  |   |        |                |
| PART TWO EXEMPT Internal Audit Special<br>Investigation/limited/ Top Risk Areas reports<br>(Part 2 items).  | As required                      |   |        |                |
| PART TWO Exempt<br>Update on SEND WSOA and Implementation<br>of previous audit recommendations (including<br>the work of Family Improvement Boards.<br>Report of Assistant Director for Education<br>Strategy and Improvement (to include as<br>appropriate Cabinet Member for Education<br>and SEND and Chairmen of Family |                                  |   |        |                |

| Item and lead officer   | Date of meeting          | Links with Council strategic commissioning priorities | Detail | Action/Outcome |
|---|--------------------------|---|--------|----------------|
| Improvement Boards  |                          |   |        |                |
| PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations                                 | Moved from July 2020     |   |        |                |
| <b>9 February 2021</b>  |                          |   |        |                |
| Overview of the Strategic Risks present within the Care Director System.<br>Lead Officer: Richard Harling                     |                          |   |        |                |
| External Audit Plan 2020/21<br>Report of Ernst & Young  |                          |   |        |                |
| Staffordshire Pension Fund Audit Plan 2020/21<br>Report of Ernst & Young  |                          |   |        |                |
| Health, Safety and Wellbeing Performance Annual Report<br>Report of Director of Corporate Services<br>Lead Officer: Becky Lee | Moved from December 2020 |   |        |                |
| Development of an assurance framework<br>Report of County Treasurer<br>Lead Officer : Debbie Harris                           | Moved from April 2020    |   |        |                |
| Proposed changes to the Constitution  | As required              |   |        |                |
| Forward Plan for the Audit and Standards Committee<br>Lead Officer – Lisa Andrews   |                          |   |        |                |
| PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports ( <i>Part 2 items</i> ).                 | As required              |   |        |                |
| <b>21 April 2021</b>  |                          |   |        |                |
| Annual Report on Information Governance<br>Report of the Director of Corporate Services<br>Lead Officer: Tracy Thorley        |                          |   |        |                |

| Item and lead officer  | Date of meeting | Links with Council strategic commissioning priorities | Detail | Action/Outcome |
|--|-----------------|---|--------|----------------|
| Annual Review of the effectiveness of the Audit & Standards Committee – Update Report of the Director of Corporate Services<br>Lead Officer: Debbie Harris |                 |   |        |                |
| Annual Report of the work of the Audit & Standards Committee<br>Report of the Director of Corporate Services<br>Lead Officer: Lisa Andrews                 |                 |   |        |                |
| Internal Audit Charter 2021/22<br>Report of the County Treasurer<br>Lead Officer Lisa Andrews  |                 |   |        |                |
| Internal Audit Plan 2021/22<br>Report of the County Treasurer<br>Lead Officer: Debbie Harris   |                 |   |        |                |
| Proposed changes to the Constitution   | As required     |   |        |                |
| Forward Plan for the Audit and Standards Committee<br>Lead Officer: Lisa Andrews   |                 |   |        |                |
| PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports ( <i>Part 2 items</i> ).  | As required     |   |        |                |
| Special Guardianship Payments Arrangements – progress report<br>Lead Officer – Deborah Ramsdale  |                 |   |        |                |
| Review of Joint Funding & Billing CCG's Continuing Healthcare - Progress Report<br>Lead Officer – Karen Webb   |                 |   |        |                |
| Review of the arrangements in place to address the risks of Cyber Attack.<br>Lead Officer – Natalie Morrisey   |                 |   |        |                |



**Membership**

|                                    |                    |
|------------------------------------|--------------------|
| Derek Davis, OBE                   | Philip Atkins, OBE |
| Alastair Little                    | David Brookes      |
| Martyn Tittley (Chair)             | Helen Fisher       |
| Ann Edgeller                       | Keith Flunder      |
| Paul Northcott                     | Keith James        |
| Richard Ford                       |                    |
| Carolyn Trowbridge (Vice<br>Chair) |                    |
| Ross Ward                          |                    |
| Bernard Williams                   |                    |
| Sue Woodward                       |                    |

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

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