

Audit and Standards Committee Forward Plan 2023/2024

If you would like to know more about our work programme, please contact Lisa Andrews, Assistant Director - 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 |
|---|-----------------|---|--------|----------------|
| 25 April 2023 | | | | |
| External Audit – Verbal Update. <ul style="list-style-type: none"> • Financial Year 2020/21 • Financial Year 2021/22 Report of Ernst & Young | | | | |
| Annual Report of the work of the Audit & Standards Committee Joint Report of the Director for Corporate Services and Director of Finance Lead Officer: Lisa Andrews | | | | |
| Special Panel of the Audit & Standards Committee for the appointment of Independent Remuneration Panel Members. Report of the Director for Corporate Services. Lead Officer: Chris Ebberley | | | | |
| Annual Report on Information Governance | | | | |

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|--|-----------------|---|--------|----------------|
| Report of the Director for Corporate Services Lead Officer: Tracy Thorley/ Natalie Morrisey | | | | |
| Internal Audit Plan 2023/24 Report of the Director of Finance Lead Officer: Debbie Harris | | | | |
| 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>). | | | | |
| Infrastructure+ Asset Data Management – Progress report on implementation of Internal Audit recommendations. Lead Officers: David Walters/Scott Denny | | | | |
| Settlement Agreements - Progress report on implementation of Internal Audit recommendations Lead Officer: Sarah Getley | | | | |
| Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>). <u>Top Risk Reviews</u> <ul style="list-style-type: none"> • Highways Transformation Programme Position Statement • Send Strategy Implementation (Substantial Assurance) <u>Special Investigation</u> | | | | |

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|--|-----------------|---|--------|----------------|
| <ul style="list-style-type: none"> SEND Personal Budgets (significant fraud with police circa £180k) | | | | |
| 11 July 2023 | | | | |
| Internal Audit Outturn Report 2022/23 Report of the Director of Finance Lead Officer: Debbie Harris | | | | |
| Update regarding the situation within the External Audit provision. Report of the Director of Finance Lead Officer: Lisa Andrews/Rachel Spain | | | | |
| External Audit – Verbal Update. <ul style="list-style-type: none"> Financial Year 2020/21 Financial Year 2021/22 Report of Ernst & Young | | | | |
| Code of Conduct for Members – Annual Report on the Management of Complaints Report of Director for Corporate Services Lead Officer: Julie Plant | | | | |
| Code of Corporate Governance –2023 Update Report of the Director for Corporate Services Lead Officer: Lisa Andrews | | | | |
| Review of the Effectiveness of the Audit & Standards Committee – Verbal Update. Report of the Director of Finance Lead Officer: Lisa Andrews | | | | |
| Appointment of Members to Standards Panel 2023/24. Lead Officer: Chris Ebberley | | | | |
| FRC Annual Report on the Quality of External Audit. | | | | |

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|---|-----------------|---|--------|----------------|
| Proposed changes to the Constitution. - Countryside & Rights of Way Delegations Report of Director for Corporate Services Lead Officer: Julie Plant | | | | |
| 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>). | As required | As required | | |
| Appendix 2 – Counter Fraud Outturn Report 2022/23 Lead Officers: Debbie Harris | | | | |
| 19 September 2023 | | | | |
| External Audit – Verbal Update. <ul style="list-style-type: none"> • Financial Year 2020/21 • Financial Year 2021/22 Report of Ernst & Young | | Potential to have the ISA 260 | | |
| Civil Contingencies Governance Annual Report – 2022/23 Report of the Director for Corporate Services Lead: Tracy Thorley | | | | |
| Review of the Effectiveness of the Audit & Standards Committee – Results of the Member Workshop. Report of the Director of Finance Lead Officer: Lisa Andrews | | | | |
| Review of the Effectiveness of the Audit & Standards Committee – Updated Terms of Reference. | | | | |

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| Review of the Effectiveness of the Audit & Standards Committee – Consideration of the Appointment of Independent Members to the Committee. | | | | |
| Proposed changes to the Constitution – Scheme of Delegation Countryside and Rights of Way. Lead Officer – Julie Plant | As required. (KL to advise) | | | |
| 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>). | As required | | | |
| Nexus & Company Governance – Follow Up Report. Lead Officer – Debbie Harris/Kate Loader | | | | |
| Review of the arrangements regarding County Farms sales. Lead Officer – Rachel Spain | | | | |
| 31 October 2023 | | | | |
| Final Report to those charged with Governance (ISA 260) 2020/21 a) Staffordshire County Council Report of Ernst & Young | Moved from December 2021 | | | |
| Final Report to those charged with Governance (ISA 260) 2020/21 b) Staffordshire Pension Fund Report of Ernst & Young | Moved from December 2021 | | | |
| Annual Audit Letter – 2020/21 Report of Ernst & Young | Moved from September 2022 | | | |

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| Future External Audit arrangements for the outstanding Statement of Accounts. Report of Director of Finance Lead Officer – Rachel Spain | | | | |
| Health, Safety and Wellbeing Performance Annual Report Report of Director for Corporate Services Lead Officer: Becky Lee | B/fwd. from December 2022 meeting | | | |
| National Fraud Initiative - Update Report of the Director of Finance Lead Officer: Debbie Harris | | | | |
| Strategic Risk Management - Risk Management Policy Statement & Strategy. Report of the Director of Finance Lead Officer: Lisa Andrews | | | | |
| Annual Governance Statement 2022/23 Report of the Director of Corporate Services Lead Officer: Lisa Andrews | | | | |
| Training on Statement of Accounts Lead Officer: Rachel Spain | | | | |
| Draft Statement of Accounts 2022/23 Presentation and Report of Director of Finance Lead Officer: Rachel Spain | | | | |
| Proposed changes to the Constitution | As required. (KL to advise) | | | |
| Standard Matters | As required. (JP to advise) | | | |
| Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews | | | | |
| PART TWO EXEMPT Internal Audit Special | As required | | | |

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| Investigation/limited/ Top Risk Areas reports <i>(Part 2 items).</i> | | | | |
| 12 December 2023 | | | | |
| Internal Audit Plan 2023 – 2024 Progress Report. Report of the Director of Finance Lead: Debbie Harris | | | | |
| Proposed changes to the Constitution | As required. (KL to advise) | | | |
| Standard Matters | As required. (JP to advise) | | | |
| 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> | | | | |
| 20 February 2024 | | | | |
| Report to those charged with Governance (ISA 260) 2021/22 c) Staffordshire County Council Report of Ernst & Young | Moved from December 2022 | | | |
| Report to those charged with Governance (ISA 260) 2021/22 d) Staffordshire Pension Fund Report of Ernst & Young | Moved from December 2022 | | | |

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| Annual Audit Letter – 2021/22 Staffordshire County Council | | | | |
| Annual Audit Letter – 2021/22 Staffordshire Pension Fund | | | | |
| External Audit Plan 2022/23 – Staffordshire County Council. Report of Ernst & Young | Moved from March 2023 | | | |
| Staffordshire Pension Fund Audit Planning Report 2022/23 Report of Ernst & Young | Moved from March 2023 | | | |
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| Report to those charged with Governance (ISA 260) 2022/23 - Staffordshire County Council Report of Ernst & Young | Moved from December 2022 | | | |
| Report to those charged with Governance (ISA 260) 2022/23 - Staffordshire Pension Fund Report of Ernst & Young | Moved from December 2022 | | | |
| Proposed changes to the Constitution | As required. (KL to advise) | | | |
| Standard Matters | As required. (JP to advise) | | | |
| Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews | | | | |

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| PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>). | | | | |
| 19 March 2024 | | | | |
| Annual Audit Letter – 2022/23 Staffordshire County Council Report of Ernst & Young (EY) | EY to provide update | | | |
| Annual Audit Letter – 2022/23 Staffordshire Pension Fund Report of Ernst & Young (EY) | | | | |
| External Audit Plan 2023/24 Report of KPMG | | | | |
| Staffordshire Pension Fund Audit Planning Report 2023/24 Report of KPMG | | | | |
| Review of the Effectiveness of the Audit & Standards Committee. Report of the Director for Corporate Services Lead Officer: Lisa Andrews | | | | |
| Internal Audit Charter 2024/25 Report of the County Treasurer Lead Officer: Debbie Harris | | | | |
| Proposed changes to the Constitution | As required. (KL to advise) | | | |
| Standard Matters | As required. (JP to advise) | | | |
| 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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| Infrastructure+ Asset Data Management – Further Progress report on the implementation of Internal Audit recommendations. Lead Officers: David Walters/Scott Denny | | | | |
| 23 April 2024 | | | | |
| Annual Report of the work of the Audit & Standards Committee Report of the Director for Corporate Services Lead Officer: Lisa Andrews | | | | |
| Strategic Risk Management - Risk Management Policy Statement & Strategy. Report of the Director for Corporate Services Lead Officer: Lisa Andrews | | | | |
| Annual Report on Information Governance Report of the Director for Corporate Services Lead Officer: Tracy Thorley/ Natalie Morrisey | | | | |
| Internal Audit Plan 2024/25 Report of the Director of Finance Lead Officer: Debbie Harris | | | | |
| Proposed changes to the Constitution | As required. (KL to advise) | | | |
| Standard Matters | As required. (JP to advise) | | | |
| 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). | | | | |

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| <p>Membership</p> <p><i>Mike Worthington</i> Bernard Peters <i>(Chair)</i> James Salisbury <i>Carolyn Trowbridge</i> Janice Silvester-Hill <i>(Vice Chair)</i> Richard Cox Arshad Afsar Ian Wilkes Keith Flunder Graham Hutton Ross Ward Ann Edgeller Bernard Williams Philippa Haden Phil Hewitt</p> <hr/> | <p>Calendar of Future Committee Meetings (All meetings at 10.00 a.m. unless otherwise stated)</p> <p>24 April 2023 11 July 2023 19 September 2023 01 November 2023 13 December 2023 21 February 2024 21 March 2024 24 April 2024</p> <p>Meetings usually take place at County Buildings, Martin Street, Stafford ST16 2LH</p> |
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