



Audit and Standards Committee Forward Plan June 2016 - May 2017

If you would like to know more about our work programme, please get in touch with Louise Morris, Scrutiny Support Officer, 01785 276144 or louise.morris@staffordshire.gov.uk

| Item and lead officer | Date of meeting | Detail | Action/Outcome |
|--|----------------------|------------------------------------|---|
| Information Governance Head of Information Governance | 21 March 2016 | Annual Report | Members received the Information Governance annual report and noted the work ongoing. An increase in cyber-attacks was investigated where necessary. |
| Protecting the Public Purse Chief Internal Auditor | | Fraud Briefing/ Awareness Training | Members received a presentation: Protecting the Public Purse raising awareness of fraud, how it can arise and why it is important to mitigate ongoing threat. |
| Members Standards Director of Strategy, Governance and Change | | Annual Statement | Members received the report in respect of Complaints against members of the county council. |
| External Audit Plan 2015-16 Ernst & Young | | | Members approved the External Audit Plan 2015-16; agreed that a letter should be sent to the Leader of the County Council recommending the appointment of a Cabinet Member without portfolio to act as a gatekeeper for the County Councils finances; and asked for arrangements for scrutinising Entrust to be investigated. |
| Staffs Pension Fund – External Audit Plan 2015-16 Ernst & Young | | | Members approved the Pensions Fund External Audit Plan 2015-16 |

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| External Audit Ernst & Young | 27 June 2016 | Progress Report | The committee received the progress report; sought assurance that SLT could evidence that the County Council is achieving Value for Money; and, asked about the likely cost and necessity of identifying the Highways Network Asset, in line with CIPFA Code of Practice. |
| Internal Audit Chief Internal Auditor | | <ul style="list-style-type: none"> • Outturn Report 2015-16 • Strategy and Plan 2016-17 • Charter | The committee received the Internal Audit Outturn report including the annual audit opinion and the Internal Audit Strategy and Plan for 2016-17. They noted two small revisions to the Internal Audit Charter for 2016-17. |
| Code of Corporate Governance Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources | | Update on action plan | Members noted progress towards implementing the Corporate Governance Action Plan 2015-16 and in particular revising the Code of Conduct. The revised framework contained a number of key changes to the principles which determine the County Councils governance arrangements. |
| Better Care Fund (BCF) Director for Health and Care | | Management of Risk | Members received an update on managing risk around the Better Care Fund. |
| Politically Restricted Posts Director of Strategy, Governance and Change | | Approval to amending the Council's constitution | The committee approved the change to the list of politically restricted posts and recommended the change to Council. |
| Annual Governance Statement Director of Strategy, | 12 September 2016 | | The Committee approved the Annual Governance Statement. It was agreed that the Chairman write to the Leader of the Council regarding the Committee's concerns |

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| Governance and Change <i>and</i> Director of Finance and Resources | 12 September 2016 continued | | in relation to delegating decisions to one Cabinet Member, in particular making reference to recommendations made previously by Corporate Review and concerns regarding the BCF. |
| Statement of Accounts 2015/6 Chief Accountant | | <ul style="list-style-type: none"> • County Council • Pension Fund | The Committee gave approval to the 2015/2016 Statement of Accounts as included in the Committee papers and the letters of representation from the Director of Finance and Resources. |
| Report to those charged with Governance Report of Ernst & Young | | | The Committee noted the Staffordshire County Council Audit Results Report – ISA (UK and Ireland) 260 for the year ended 31 March 2016 and the Staffordshire Pension Fund Audit Results Report – ISA (UK and Ireland) 260 for the year ended 31 March 2016 |
| Code of Corporate Governance Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources | | To receive the new Code | The Committee noted the updated Code of Corporate Governance, the revised Single Sheet Local Framework and the progress on developing the Corporate Governance Action Plan 2016/17. |
| Future External Audit Procurement Report of the Director of Finance and Resources | | | The Committee recommended that Full Council ‘opt-in’ to the Local Government Association Sector Led Body approach via Public Sector Audit Appointments Ltd for the procurement of the External Audit contract for the financial year commencing April 2018. |
| Health, Safety and Wellbeing Performance Health, Safety & Wellbeing | 5 December 2016 | Annual Report | |

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| Manager | 5 December 2016 continued | | |
| Annual Audit Letter 2015-16 Report of Ernst & Young | | | It was agreed that Committee Members note the content of the Annual Audit Letter for the year ended 31 March 2016. It was agreed that the Committee; Note the progress against the 2016/17 Internal Audit Plan and the amendments to the original plan, including those audits which had been cancelled since its approval in June 2016. Note progress on the implementation of high level recommendations made during 2016/17. |
| Internal Audit Plan 2016-17 Chief Internal Auditor | | Update | |
| National Fraud Initiative Chief Internal Auditor | | Update | It was agreed that the Committee note the content of the report presented. |
| Fraud Briefing Counter Fraud Manager <i>and</i> Chief Internal Auditor | | Briefing/Awareness Training | It was queried how Councillors could raise any concerns regarding fraud and the Chief Internal Auditor confirmed that the Internal Audit Team could be informed of any financial concerns straight away through the reporting line and through an online reporting form which would be going live shortly. |
| SSOTP Head of Financial Strategy and Support | | Management of Risk | A verbal update was considered. It was agreed that the report and minutes of the item presented on SSOTP to the Healthy Staffordshire Select Committee on the 2 December 2016 be shared with the Audit and Standards Committee for information |

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| Internal Audit Reports – Update on Limited Assurance Review Update | | | It was noted that the Settlement Agreement process had been amended in response to the Committee’s letter and was now a far more robust system than what was going to be implemented. |
| | 13 March 2017 | | |
| Pension Scheme Assets Pooling Director of Finance and Resources | | | |
| Annual Information Governance Statement Head of Information Governance | | Annual report | |
| Members Standards Director of Strategy, Governance and Change | | Annual Statement | . |
| External Audit Plan Report of Ernst & Young | | Update | |
| | 26 June 2017 | | |
| External Audit Plan Ernst & Young | | Progress Report | |
| Internal Audit Chief Internal Auditor | | <ul style="list-style-type: none"> • Outturn Report 2016-17 • Strategy and Plan 2017-18 | |
| Strategic Risk Register | | | |

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| Chief Internal Auditor | | | |
| SAP Replacement update Report of Chief Accountant | | | |
| Code of Corporate Governance – 2017/18 Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources | | | |
| Financial Regulations and Procurement Regulations Report of the Director of Finance and Resources | | | |
| Training of the new Audit & Standards Committee | | | |
| Effectiveness of Audit & Standards Committee | 4 December 2017 | | |
| Work programme for the Audit and Standards Committee | All meetings | | |
| Proposed changes to the Constitution | As required | | |
| Other items: | | <ul style="list-style-type: none"> • Auditing in a Commissioning environment (cybercrime) • External Assessment of Internal Audit • Local Public Audit - update • Procurement Regulations and Financial regulations. • Penda property partnership | A development day on Penda Property Partnership will be offered to all members |

Membership

Martyn Tittley (Chairman)
Mike Davis (Vice Chairman)
Derek Davies OBE
William Day
Brian Edwards
Michael Greatorex
Derrick Huckfield
Kevin Jackson
Philip Jones
Robert Marshall
David Smith
Alison Spicer
Diane Todd
Mike Worthington
Caroline Wood

Calendar of Committee Meetings

27 June 2016
12 September 2016
5 December 2016 2pm
13 March 2017

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