

AUDIT AND ACCOUNTS COMMITTEE FORWARD AGENDA PLAN

Note Group Leaders decided on 20th October to allow Committee to now make decisions on whether information reports would be included on future agendas. Please note this may change again as the Covid-19 crisis deepens if there is a need to again redeploy staff to emergency support areas

MEETING DATE REPORT DEADLINES AND REPORT TITLES		Frequency of report	Corporate/Service Director /external officer responsible	Report aut
1. 10 A.M. FRIDAY 30 TH OCTOBER COMMITTEE DATE ORIGINALLY FOR ACCOUNTS SIGN OFF				
Deadline for reports to be with Democratic Services: Mid-day Monday 19 th October 2020				
ISA 1260 Pensions Fund annual Report and Accounts Report	Annual Report with the Accounts	Finance and Ernst Young External Auditor	Mark Hodgson	
Whistleblowing Report	Annual Report	Chief Internal Auditor	Duncan Wilkinson / Neil Hunter	
Internal Audit Annual Report t	Annual Report	Chief Internal Auditor	Duncan Wilkinson / Neil Hunter	
COMMITTEE DATE 2.00 P.M. TUESDAY 24 th November 2020				
Deadline for reports to be with Democratic Services: Mid-day Wednesday 11 th November 2020				
ISA 260 main Accounts Report Moved from the October meeting	Annual Report with the Accounts	Ernst Young External Auditor	Mark Hodgson	
Final Accounts (Moved from the October meeting)		Head of Finance and	Tom Kelly / Ellie Tod	

	Annual Report	Deputy Section 151 Officer / Strategic Finance Manager for Corporate Finance	
Internal Audit Progress Report including update on the Audit plan and outstanding Audit Review recommendations			
Transformation Fund Monitoring Report Quarter 2 -- Committee to decide if included on agenda	Quarterly Update	Head of Transformation	Kelly Allen
Performance Report Quarter 1 Committee to decide if included on agenda	Quarterly	Head of Business Intelligence	Tom Barden
Resources Report Committee to decide if included on agenda	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Chief Finance Officer	Tom Kelly / Rebecca Barnes
Safer Recruitment in Schools Update Committee to decide if included on agenda	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	Duncan Wilkinson / Rob Sanderson / Cllr Shellens / Cllr Rogers

COMMITTEE DATE 2.00 P.M. TUESDAY 26th January 2021

Deadline for reports to be with Democratic Services: Mid-day Wednesday 13 th January 2021			
Debt Management Six Monthly Progress Update	Every six months January and June unless there is a request for additional updates	Head of Revenue and Benefits	Robin Bates
Statement of Update Accounts Process – Action / Improvement Plan	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer / Strategic Finance Manager - Corporate Finance	Tom Kelly, Ellie Tod
Performance Report Quarter 2	Quarterly	Head of Business Intelligence	Tom Barden
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Chief Finance Officer	Tom Kelly / Rebecca Barnes
Six Monthly Report in respect of Consultancy expenditure and compliance with the Policy		Head of People HR/ Procurement	Martin Cox / Sarah Haig
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal

Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)	Each meeting other than the meeting when the IA Annual Audit Plan Report (usually March) is received or the special meeting to consider the draft accounts (June or July)	Head of Internal Audit	Neil Hunter / Mairead Claydon
Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date			
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	Duncan Wilkinson / Ro Sanderson Cllr Shellens / Cllr Rogers
COMMITTEE DATE 2.00 P.M. TUESDAY 23 rd March 2021			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 10 th March 2021			
Statement of Accounts Process – Action / Improvement Plan	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer / Strategic Finance Manager - Corporate Finance	Tom Kelly, Ellie Tod
Whistle Blowing Annual Review	Annual	LGSS Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been	Chief Finance Officer	Tom Kelly / Rebecca Barnes

	through General Purposes Committee or was going the same day		
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Transformation Fund Monitoring Report Quarter 3	Quarterly Update	Head of Transformation	Kelly Allen
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update) Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	Each meeting other than the meeting when the IA Annual Audit Plan Report (usually March) is received or the special meeting to consider the draft accounts (June or July)	LGSS Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	Duncan Wilkinson / Ro Sanderson Cllr Shellens / Cllr Rogers
COMMITTEE DATE 2.00 P.M. TUESDAY 1 st JUNE 2021			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 19 th May 2021			
Statement of Accounts Process – Action Plan Update	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer	Tom Kelly / Ellie Tod

Section 106 Update Report	Annual	Deputy Section 151 Officer	Tom Kelly
Performance Report Quarter 3	Quarterly	Head of Business Intelligence	Tom Barden
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Chief Finance Officer	Tom Kelly / Rebecca Barnes
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Internal Audit Progress Report (Including Progress of Implementation of Management Actions and Internal Audit Plan Update) Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	Each meeting other than the meeting when the IA Annual Audit Plan Report (March) is received or the special meeting to consider the draft accounts (June or July)	LGSS Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman	Duncan Wilkinson / Ro Sanderson Cllr Shellens / Cllr Rogers

		briefing	
MEETING DATE REPORT DEADLINES AND REPORT TITLES	Frequency of report	Corporate/Service Director /external officer responsible	Report author
COMMITTEE DATE 2.00 P.M. TUESDAY 30 th JULY 2021			
Deadline for reports to be with Democratic Services:			
Final Accounts	Annual	Head of Finance and Deputy Section 151 Officer	Tom Kelly Ellie Tod
Performance Report Quarter 4	Quarterly	Head of Business Intelligence	Tom Barden
Transformation Fund Monitoring Report Quarter 4	Quarterly Update	Interim Head of Transformation	Julia Turner
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Chief Finance Officer	Tom Kelly
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update) <i>Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date</i>	Each meeting other than the meeting when the IA Annual Audit Plan Report (normally March) is received or the	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

	special meeting to consider the draft accounts (June or July)		
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	
Update Report in respect of Consultancy expenditure and compliance with the Policy		HR/ Procurement	Martin Cox / Sarah Haig
COMMITTEE DATE 2.00 P.M. TUESDAY SEPTEMBER 2021			
Deadline for reports to be with Democratic Services:			
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Head of Finance	Tom Kelly / Rebecca Barnes
Transformation Fund Monitoring Report Quarter 1	Quarterly	Interim Head of Transformation	Julia Turner
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)	Each meeting other than the meeting when the IA Annual Audit Plan Report (normally March)	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon
Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the			

next agreed target date	is received or the special meeting to consider the draft accounts (June or July)		
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	
COMMITTEE DATE 2.00 P.M. TUESDAY NOVEMBER 2021			
Deadline for reports to be with Democratic Services:			
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Head of Finance	Tom Kelly / Rebecca Barnes
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)	Each meeting other than the meeting when the	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	IA Annual Audit Plan Report (previously in March) is received or the special meeting to consider the draft accounts (June or July)		
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	
COMMITTEE DATE 2.00 P.M. TUESDAY JANUARY 2022			
Deadline for reports to be with Democratic Services:			
Statement of Accounts Process – Action Plan Update	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer	Tom Kelly
Update Report in respect of Consultancy expenditure and compliance with the Policy		HR/ Procurement	Martin Cox / Sarah Haig
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update) Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	Each meeting other than the meeting when the IA Annual Audit Plan Report (Previously March) is received or the special meeting to consider the draft accounts (June or	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

	July)		
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	
COMMITTEE DATE 2.00 P.M. TUESDAY March 2022			
Deadline for reports to be with Democratic Services:			
Statement of Accounts Process – Action Plan Update	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer	Tom Kelly
External Audit Annual Plan	Annual	Ernst Young	Mark Hodgson
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Head of Finance	Tom Kelly / Rebecca Barnes
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update) Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	Each meeting other than the meeting when the IA Annual Audit Plan Report (previously in March) is received or the special meeting to consider the draft accounts (June or July)	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	
COMMITTEE DATE 2.00 P.M. TUESDAY JUNE 2022			
Deadline for reports to be with Democratic Services:			
Statement of Accounts Process – Action Plan Update	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer	Ellie Tod / Michelle Parker
Section 106 Update Report	Annual	Deputy Section 151 Officer	
Performance Report Quarter 3	Quarterly	Head of Business Intelligence	Tom Barden
Integrated Finance Monitoring Report	Each Cycle - would always be one that had already been through General Purposes Committee or was going the same day	Head of Finance	Tom Kelly / Rebecca Barnes
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update) Relevant officers to attend the Committee to be invited by Head of Internal Audit where management actions have gone beyond the next agreed target date	Each meeting other than the meeting when the IA Annual Audit Plan Report (previously March) is received or the special meeting to	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

	consider the draft accounts (June or July)		
Agenda Plan	Each meeting	Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing	

Annual Whistle Blowing Report	Annual Report	Head of Internal Audit / Audit and Risk Manager	Neil Hunter
Annual Governance Statement	Annual Report	Head of Internal Audit / Audit and Risk Manager	Neil Hunter
Internal Audit Annual Report	Annual Report	Head of Internal Audit / Audit and Risk Manager	Neil Hunter

REPORTS TO BE PROGRAMMED AS CURRENTLY STILL THE SUBJECT OF ONGOING INVESTIGATIONS / ADDITIONAL WORK REQUIRED

BDO External Audit Final report on investigations into Objections to the 2016/17 and 17-18 Accounts		Council's previous External Auditors - BDO	Lisa Clampin
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<p>FACT, HACT and ESACT Recovery of Monies</p> <p>This is currently the subject of a Police investigation</p> <p>When the report eventually comes forward it may require a separate confidential appendix as it may contains business</p>	One-off Report	Chief Finance Officer / Service Director Highways and Finance	Chris Malyon
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sensitive information for the Council and other parties. This is being led by FACT and so until negotiations are concluded is still business sensitive in terms of providing updates for the Committee.			
County Farms Tenancy Audit	One off Report likely to be at the same meeting as the report below	Chief Internal Auditor Head of Internal Audit / Audit and Risk Manager	Duncan Wilkinson Neil Hunter /
Manor Farm Tenancy Investigation (May have a confidential appendix to be confirmed) This will require a separate meeting	One off investigation	Chief Internal Auditor Head of Internal Audit / Audit and Risk Manager	Duncan Wilkinson Neil Hunter

Update 21st October 2020