

AUDIT AND ACCOUNTS COMMITTEE FORWARD AGENDA PLAN

MEETING DATE REPORT DEADLINES AND REPORT TITLES	Frequency of report	Corporate/Service Director /external officer responsible	Report author
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COMMITTEE DATE 2.00 P.M. TUESDAY 22nd SEPTEMBER 2020

Deadline for reports to be with Democratic Services: Mid-day Wednesday 9th September 2020			
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	Originally Quarterly Report updates had bene requested at the November 2018 meeting. Changed as a result of Lockdown	Head of People / HR/ Procurement	Martin Cox / Sarah Haig

Transformation Fund Monitoring Report Quarter 1	Quarterly	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 (March) is received or the special meeting to consider the draft accounts (June)	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 / Rob Sanderson Cllr Shellens / Cllr Rogers
10 A.M. SPECIAL COMMITTEE DATE FOR ACCOUNTS SIGN OFF FRIDAY 30TH OCTOBER			
ISA 260 Report	Annual Report with the Accounts	Ernst Young External Auditor	Mark Hodgson
Final Accounts Moved from the July meeting	Annual Report	Head of Finance and Deputy Section 151 Officer / Strategic Finance Manager for Corporate Finance	Tom Kelly / Ellie Tod
COMMITTEE DATE 2.00 P.M. TUESDAY 24th November 2020			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 11th November 2020			
Statement of Accounts Process – Action / Improvement Plan	Monitoring each meeting	Head of Finance and Deputy Section 151 Officer / Strategic Finance	Tom Kelly, Ellie Tod

		Manager - Corporate Finance	
Transformation Fund Monitoring Report Quarter 2	Quarterly Update	Head of Transformation	Kelly Allen
Performance Report Quarter 1	Quarterly	Head of Business Intelligence	Tom Barden
Resources 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)	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 / Rob Sanderson / Cllr Shellens / Cllr Rogers

		briefing	
COMMITTEE DATE 2.00 P.M. TUESDAY 26th January 2021			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 13th January 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
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 (March) is	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	received or the special meeting to consider the draft accounts (June)		
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 23rd March 2021			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 10th 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 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

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 (March) is received or the special meeting to consider the draft accounts (June)	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 1st JUNE 2021			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 19th 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	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
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)	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
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 30th 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 (March) is received or the special meeting to consider the draft accounts (June)	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	
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) 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)	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 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) 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)	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 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 (March) is received or the special meeting to consider the draft accounts (June)	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 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	Head of Finance	Tom Kelly / Rebecca Barnes

	Purposes Committee or was going the same day		
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)	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	Head of Finance	Tom Kelly / Rebecca Barnes

	going the same day		
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)	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	

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
FACT, HACT and ESACT Recovery of Monies This may require a separate confidential appendix as it may contains business sensitive information for the Council and other parties. This being Led by FACT and so is currently in their hands	One-off Report	Chief Finance Officer / Service Director Highways and Finance	Chris Malyon / Graham Hughes
County Farms Tenancy Audit	One off Report	Head of Internal Audit / Audit and Risk Manager	Neil Hunter /
Manor Farm Tenancy Investigation (May have a confidential appendix to be confirmed) This will require a seprate	One off investigation	Head of Internal Audit / Audit and Risk Manager	Neil Hunter

Update 6th July 2020