

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
COMMITTEE DATE 2.00 P.M. TUESDAY 2nd JUNE 2020			
Deadline for reports to be with Democratic Services: Mid-day Thursday 21st May 2020			
Debt Collection Update	Update	LGSS Head of Revenues and Benefits	Robin Bates
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 / Michelle Parker
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	Chief Finance Officer	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) <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
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 16th June 2020			
Deadline for reports to be with Democratic Services: Mid-day Wednesday 3rd June 2020			
Draft Accounts 2019-2020	Annual Report	Head of Finance	Tom Kelly / Ellie Tod / Michelle Parker
Annual Risk Report	Annual Report	Head of Internal Audit	Neil Hunter
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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (may not be required)	Quarterly Report requested at the November 2018 meeting	HR/ Procurement	Sarah Haig
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. THURSDAY 30th JULY 2020

Deadline for reports to be with Democratic Services: Mid-day Friday 17th July 2020			
Performance Report Quarter 4	Quarterly	Head of Business Intelligence	Tom Barden
Transformation Fund Monitoring Report Quarter 4	Quarterly	Head of Transformation	Kelly Allen
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
Internal Audit Progress Report Including Progress of	Each meeting	Head of Internal Audit /	Neil Hunter / Mairead

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>	other than the meeting when the IA Annual Audit Plan Report (March) is received or the special meeting to consider the draft accounts (June)	Audit and Risk Manager	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 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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (may not be required)	Quarterly Report requested at the November 2018 meeting	Head of People / HR/ Procurement	Martin Cox / Sarah Haig
Transformation Fund Monitoring Report Quarter 1	Quarterly	Head of Transformation	Kelly Allen

<p>Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)</p> <p>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</p>	<p>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)</p>	<p>Head of Internal Audit / Audit and Risk Manager</p>	<p>Neil Hunter / Mairead Claydon</p>
<p>Agenda Plan</p>	<p>Each meeting</p>	<p>Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing</p>	<p>Duncan Wilkinson / Rob Sanderson Cllr Shellens / Cllr Rogers</p>
<p>SPECIAL COMMITTEE DATE FOR ACCOUNTS SIGN OFF FRIDAY 30TH OCTOBER</p>			
<p>ISA 260 Report</p>	<p>Annual Report with the Accounts</p>	<p>Ernst Young External Auditor</p>	<p>Mark Hodgson</p>
<p>Final Accounts</p> <p>Moved from the 16th June meeting</p>	<p>Annual Report</p>	<p>Head of Finance and Deputy Section 151 Officer / Strategic Finance Manager for Corporate Finance</p>	<p>Tom Kelly / Ellie Tod</p>
<p>COMMITTEE DATE 2.00 P.M. TUESDAY 24th November 2020</p>			
<p>Deadline for reports to be with Democratic Services: Mid-day Wednesday 11th November 2020</p>			
<p>Statement of Accounts Process – Action / Improvement Plan</p>	<p>Monitoring each meeting</p>	<p>Head of Finance and Deputy Section 151 Officer / Strategic Finance</p>	<p>Tom Kelly, Ellie Tod</p>

		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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (May not be required)	Quarterly Report requested at the November 2018 meeting	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) 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
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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (may not be required)	Quarterly Report requested at the November 2018 meeting	Head of People HR/ Procurement	Martin Cox / Sarah Haig
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal

<p>Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)</p> <p>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</p>	<p>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)</p>	<p>Head of Internal Audit</p>	<p>Neil Hunter / Mairead Claydon</p>
<p>Agenda Plan</p>	<p>Each meeting</p>	<p>Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing</p>	<p>Duncan Wilkinson / Ro Sanderson Cllr Shellens / Cllr Rogers</p>
<p>COMMITTEE DATE 2.00 P.M. TUESDAY 23rd March 2021</p>			
<p>Deadline for reports to be with Democratic Services: Mid-day Wednesday 10th March 2021</p>			
<p>Statement of Accounts Process – Action / Improvement Plan</p>	<p>Monitoring each meeting</p>	<p>Head of Finance and Deputy Section 151 Officer / Strategic Finance Manager - Corporate Finance</p>	<p>Tom Kelly, Ellie Tod</p>
<p>Whistle Blowing Annual Review</p>	<p>Annual</p>	<p>LGSS Head of Internal Audit / Audit and Risk Manager</p>	<p>Neil Hunter / Mairead Claydon</p>
<p>Integrated Finance Monitoring Report</p>	<p>Each Cycle - would always be one that had already been through General Purposes</p>	<p>Chief Finance Officer</p>	<p>Tom Kelly / Rebecca Barnes</p>

	Committee or was going the same day		
Quarterly Possibly Annual Report in respect of Consultancy expenditure and compliance with the Policy	Quarterly Report requested at the November 2018 meeting	HR/ Procurement	Sarah Haig
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	Head of Finance and	Tom Kelly / Ellie Tod

	meeting	Deputy Section 151 Officer	
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)	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 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	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

	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	
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy	Quarterly Report requested at the November 2018 meeting	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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (may not be required)	Quarterly Report requested at the November 2018 meeting	Head of People / HR/ Procurement	Martin Cox / Sarah Haig
Transformation Fund Monitoring Report Quarter 1	Quarterly	Interim Head of Transformation	Julia Turner
Internal Audit Progress Report Including Progress of	Each meeting	Head of Internal Audit /	Neil Hunter / Mairead

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

<p>Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)</p> <p>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</p>	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
Quarterly Report in respect of Consultancy expenditure and compliance with the Policy (may not be required)	Quarterly Report requested at the November 2018 meeting	HR/ Procurement	Martin Cox / Sarah Haig
Safer Recruitment in Schools Update	Tri-annual Termly	Senior Education Adviser	Diane Stygal
<p>Internal Audit Progress Report Including Progress of Implementation of Management Actions and Internal Audit Plan Update)</p> <p>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</p>	Each meeting other than the meeting when the IA Annual Audit Plan Report (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)		
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
Quarterly / Annual? Report in respect of Consultancy expenditure and compliance with the Policy	Quarterly Report requested at the November 2018 meeting	Head of People HR/ Procurement	Martin Cox / Sarah Haig
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	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	Plan Report (March) is 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	
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	Each meeting other than the	Head of Internal Audit / Audit and Risk Manager	Neil Hunter / Mairead Claydon

<p>Plan Update)</p> <p>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</p>	<p>meeting when the IA Annual Audit Plan Report (March) is received or the special meeting to consider the draft accounts (June)</p>		
<p>Agenda Plan</p>	<p>Each meeting</p>	<p>Chief Internal Auditor / Democratic Services / Chairman and Vice Chairman in a Chairman briefing</p>	

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

<p>BDO External Audit Final report on investigations into challenges to the 2016/17 and 17-18 Accounts</p>		<p>Council's previous External Auditors - BDO</p>	<p>Lisa Clampin</p>
<p>FACT, HACT and ESACT Recovery of Monies</p> <p>This may require a separate confidential appendix as it may contain business sensitive information for the Council and other parties</p>	<p>One-off Report</p>	<p>Chief Finance Officer / Service Director Highways and Finance</p>	<p>Chris Malyon / Graham Hughes</p>
<p>County Farms Tenancy Audit</p>	<p>One off Report</p>	<p>Head of Internal Audit / Audit and Risk Manager</p>	<p>Neil Hunter /</p>

Manor Farm Tenancy Investigation (May have a confidential appendix to be confirmed)	One off investigation	Head of Internal Audit / Audit and Risk Manager	Neil Hunter

Update 2 3RD March 2020