

Report

Audit Committee

16 July 2015

Item No 11

Subject **Work Programme**

Purpose To report the details of this Committee's work programme.

Author Scrutiny Support & Research Officer

Ward General

Summary The purpose of a forward work programme is to help ensure Councillors achieve organisation and focus in the undertaking of enquiries through the Audit Committee function.

This report presents the current work programme to the Committee for information and details the items due to be considered at the Committee's next two meetings.

Proposal The Committee is asked to endorse the proposed schedule for future meetings, confirm the list of people it would like to invite for each item, and indicate whether any additional information or research is required.

Contact Senior Overview and Scrutiny Officer

Action by Audit Committee

Timetable Immediate

This report was prepared after consultation with:

- Head of Law and Standards
- Head of Finance
- Head of Human Resources and Policy

Background

1.1 The purpose of a forward work programme is to help ensure Councillors achieve organisation and focus in the undertaking of enquiries through the Audit Committee function.

The Current Programme

1.2 Attached at Appendix1 is the forward work programme for this Committee. Below are the items scheduled to be presented at the Committee's next two meetings. Committee Members are asked to endorse this schedule, confirm the list of people they would like to invite for each item, and indicate whether any additional information or research is required.

17 September 2015 Meeting

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| Internal Audit Plan 2015/16 – Progress Quarter 1 |
| Statement of Accounts 2014-15 |
| Audit of Financial Statements Report 2014-15 |
| WAO Regulatory Plans and Fees |
| SO24/Waiving of Contract SO's:Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract SOs (Quarter 1, April to June) |
| Regulatory Reports |
| Corporate Risk Register Update (considered by Cabinet in September) |
| Report on Self Evaluation Exercise |
| Presentation on Whistle Blowing Policy |

26 November 2015

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| Internal Audit Plan – Progress Quarter 2 |
| SO24/Waiving of Contract SO's:Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract SOs (Quarter 2, July to September) |
| Treasury Management Report |
| Lessons Learned 2014/15 |

Financial Summary

1.3 Please see comments from Chief Financial Officer below.

Risks

1.4 If proper work programming procedures are not put in place, the organisation and prioritisation of the work programme is put at risk. The work of the Audit Committee could become disjointed from the work of the rest of the Council, which could undermine the positive contribution to service improvement.

The specific risks associated with individual topics on the work programme will need to be addressed as part of the Committees investigations.

Links to Council Policies and Priorities

2. Having proper work programming procedures in place ensures that the work of the Audit Committee makes a positive impact upon the Council's delivery of services, contributes to the delivery of corporate objectives, and ensures that work can be undertaken in a timely and well-planned manner.

Options Considered / Available; Preferred Choice and Reasons

3. The Committee is asked to endorse the proposed work programme for the current year, and note the topics due to be considered at the Committee's next meeting.

Comments of Monitoring Officer

4. I have no comments, as there are no legal implications.

Comments of Chief Financial Officer

5. There will be financial consequences for some of the reviews undertaken. These will be commented upon as the reports are presented. The preparing and monitoring of the work programme is done by existing staff for which budget provision is available.

Staffing Implications: Comments of the Head of People and Transformation

6. There are no staffing implications within this report. Any staffing implications of the reviews in the work programme will need to be addressed in individual reports.

Background Papers

7. Scrutiny Handbook (available at www.newport.gov.uk/scrutiny)

Appendix 1

(Audit Committee to meet every other month unless circumstances dictate otherwise)

28 May 2015

Appointment of Chairman

Internal Audit Annual Report 2014/15

Internal Audit Annual Plan 2015/16

SO24/Waiving of Contract SOs: Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract SOs (Quarter 3 and 4, Oct to March, Oct to Dec deferred from March meeting)

Corporate Risk Register Update (considered by Cabinet in March)

16 July 2015

Internal Audit Unsatisfactory Audit Opinions (6 monthly report)

Corporate Risk Register Update (Considered by Cabinet in June)

Annual Governance Statement

Draft Financial Accounts 2013/14

Overspend on Market Square Bus Scheme

Treasury Management Report

17 September 2015

Internal Audit Plan 2015/16 – Progress (Quarter 1)

Statement of Accounts 2014-15

Audit of Financial Statements Report 2014-15

WAO Regulatory Plans and Fees

SO24/Waiving of Contract SOs: Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract SOs (Quarter 1, April to June)

Regulatory Reports

Corporate Risk Register Update (Considered by Cabinet in September)

Report on Self Evaluation Exercise

Presentation on Whistle blowing Policy

28 September 2015

Statement of Accounts 2014-15 (if not signed at 17 September 2014 meeting)

26 November 2015

Internal Audit Plan – Progress (Quarter 2)

SO24/Waiving of Contract SOs: Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract

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| SOs (Quarter 2, July to September) |
| Treasury Management Report |
| Lessons Learned 2014/15 |

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| 28 January 2016 |
| Internal Audit Plan – Progress (Quarter 3) |
| Financial Memorandum on the 2014-15 Financial Audit |
| Treasury Management Report |
| Internal Audit Unsatisfactory Audit Opinions (6 monthly report) |
| Corporate Risk Register (Considered by Cabinet in December) |

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| 24 March 2016 |
| Annual Audit outline for the 2013/14 Financial Audit |
| SO24/Waiving of Contract SOs: Quarterly report reviewing Cabinet/CM urgent decisions or waiving Contract SOs (Quarter 3, October to December) |
| WAO Annual Report on Grants Works |
| Regulatory Reports |
| Annual Governance Statement (draft statement) |
| Corporate Risk Register (Considered by Cabinet in March) |
| Member Development Self Evaluation Exercise |

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| Unallocated work (Dates to be agreed) |
| Report on Risks associated with Hosting (IT) <i>Date of Issue March 2015</i> |