

## AUDIT AND RISK MANAGEMENT COMMITTEE WORK PROGRAMME 2020/21 and 2021/22

DATE OF MEETING	TITLE	TYPE OF REPORT	LEAD OFFICER	OBJECTIVES AND DESIRED OUTCOMES
8 March 2021	External Audit Plan 2020/21	Annual	External Auditor	To note the external audit plan for the new financial year.
	Risk Based Internal Audit Plan 2021/22	Annual	Kathy Woodward	To approve the internal audit plan and resources for the forthcoming year
	Internal Audit Charter	3-year update	Kathy Woodward	To review the Internal Audit function's Terms of reference, independence, access to records and delivery of audit opinion, including the governance and management of resources.
	RIPA Annual Update	Annual	Anna Goodall	To review and note the use of RIPA in the previous year.
	Risk Management Strategy and Corporate Risk Register	Annual	Sam Anthony	To consider and note the annual review of risk management and corporate risk register.
<i>End June 2021</i>	Treasury Management Annual Review 2020-21	Annual	Mark Saunders	To consider the overall financial and operational performance of the Council's treasury management activity. This report will be considered by Cabinet and Council.
	Draft Statement of Accounts 2020-21	Annual	Mark Saunders	To review and note the draft Statement of Accounts
	Annual Governance Statement 2020-21	Annual	Anna Goodall	To approve the content of the Annual Governance Statement for inclusion in the published Statement of Accounts 20-21.
	Internal Audit Outturn and Quality Assurance Review 2020-21	Annual	Kathy Woodward	To note the work undertaken by Internal Audit during the year, not the Annual Audit Opinion and consider the effectiveness of Internal Audit
	Corporate Governance Committee / Audit and Risk management Committee Annual Report 2020-21	Annual	Kathy Woodward	To approve the report to Full Council the commitment and effectiveness of the Corporate Governance Committee's work.
<i>End September 2021</i>	Risk Register - Quarterly update	Progress Report	Sam Anthony	To review and approve the quarterly risk register.
	Internal Audit Plan 2021/22	Progress	Kathy Woodward	To consider and note the activity and

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	Progress report Q1	report		performance of the Internal Audit function.
	Audit Results Report (ISA 260)	Annual	External Audit	Consider and note the Audit results report
	Statement of Accounts 2020-21	Annual	Mark Saunders	Review and approve the Statement of Accounts 2020-21
	Letter of Representation	Annual	Mark Saunders	Agree format and content of the Letter of Representation provided to the External Auditors at the conclusion of the 20-21 Statement of Accounts audit. To be signed by Chairman of CGC and S151 officer
<i>November 2021</i>	Treasury Management Strategy Statement and Annual Investment Strategy Mid-year review	Progress report	Mark Saunders	To review the activity for first 6months of the year and to provide members a update on matters pertinent to the Councils TM Strategy
	Internal Audit Plan 2021/22 Progress report Q2	Progress report	Kathy Woodward	To consider and note the activity and performance of the Internal Audit function.
	Risk Register - Quarterly update	Quarterly	Sam Anthony	To review and approve the quarterly risk register.
<i>February 2022</i>	Annual Audit Letter 2020-21	Annual	External Audit	To note the independent external auditors, Ernst &Young (EY), Annual Audit Letter
	Treasury Management Strategy Statement, Capital Strategy, Minimum Revenue Provision Policy Statement and Annual Investment Strategy 2022/23	Annual Cabinet / Council	Mark Saunders	To Endorse the strategy to be included in the final budget report.
	Internal Audit Plan 2021/22 Progress report Q3	Progress report	Kathy Woodward	To consider and note the activity and performance of the Internal Audit function.
	Risk Register – Quarterly update	Progress report	Sam Anthony	To review and approve the quarterly risk register.
	Annual Governance Statement 6-month update	Progress report	Anna Goodall	To review progress on the AGS action plan

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<i>March 2022</i>	External Audit Plan 2021/22	Annual	External Auditor	To note the external audit plan for the new financial year.
	Risk Based Internal Audit Plan 2022/23	Annual	Kathy Woodward	To approve the internal audit plan and resources for the forthcoming year
	RIPA Annual Update	Annual	Anna Goodall	To review and note the use of RIPA in the previous year.
	Risk Management Strategy and Corporate Risk Register	Annual	Sam Anthony	To consider and note the annual review of risk management and corporate risk register.

Future items (when to be brought to the committee to be determined)

- Anti-Fraud and Corruption Policy and Strategy
- Whistleblowing Policy
- Anti-Money Laundering Policy
- Corporate Debt Policy

### **Audit and Risk Management Committee Training sessions 2020/21 and 2021/22**

- Statement of Accounts                      July 2021

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Title	Comments	Due by	RAG
Action Plan	The Committee agreed to include a committee action plan for future meetings.	November 2020	Complete
Independent Member appointment	The Committee decided in August 2020 to review the need for an independent member as part of the committee.	November 2021	Not due
Audit Results Report – land valuation recommendations	Allocate target date and responsible officer for completion of the Land Valuations recommendation highlighted in Audit Results report. Responsible officer – Peter Catchpole	31 March 2021 (review if nec'y)	Not due
Internal Audit Progress report	Provide members of CGC with an update on the themes and recommendations from the ARP audits	1 February 2021	Complete
Committee Training	Committee Members to discuss training requirements and provide officers with suggested training topics for future meetings.	1 February 2021	Not Due