

## GOVERNANCE, RISK & AUDIT COMMITTEE – ANNUAL WORK PROGRAMME 2019/2020

| Date/Completed                   | Item   | Lead Officer/Member                               | Objectives & Additional Comments                | Cycle       |
|----------------------------------|--|---|---|-------------|
| <b>11<sup>th</sup> June 2019</b> |  |   |   |             |
|                                  | Progress report on Internal Audit Activity                             | Internal Auditors – Emma Hodds/Faye Haywood       |   | Quarterly   |
|                                  | Follow up on Internal Audit Recommendations                            | Internal Auditors – Emma Hodds/Faye Haywood       | To include update on historical recommendations | Six Monthly |
|                                  | Annual Report/ Opinion & Review of the Effectiveness of Internal Audit | Internal Auditors – Emma Hodds/Faye Haywood       |   | Annual      |
|                                  | Self-assessment feedback   | Internal Auditors – Emma Hodds/Faye Haywood       |   | Annual      |
|                                  | Monitoring Officer’s Report  | Monitoring Officer – Emma Duncan                  |   | Annual      |
|                                  | Annual Governance Statement 2018/19                                    | Chief Technical Accountant – Lucy Hume            |   | Annual      |
|                                  | GRAC Annual Report   | Committee Officer – Matt Stembrowicz              |   | Annual      |
|                                  | Draft Statement of Accounts  | Chief Technical Accountant – Lucy Hume            |   | Annual      |
| <b>23<sup>rd</sup> July 2019</b> |  |   |   |             |
|                                  | Audit Results Report   | External Auditors - EY                            |   | Six Monthly |
|                                  | Letter of Representation   | Head of Finance & Asset Management – Duncan Ellis |   | Annual      |
|                                  | Final Statement of Accounts  | Chief Technical Accountant – Lucy Hume            |   |             |
| <b>10<sup>th</sup> Sept 2019</b> |  |   |   |             |
|                                  | EY Annual Audit Letter   | External Auditors - EY                            |   | Annual      |
|                                  | Progress Report on Internal Audit Activity                             | Internal Auditors – Emma Hodds/Faye Haywood       |   | Quarterly   |
|                                  | Corporate Risk Register  | Head of Finance & Asset Management – Duncan Ellis | To review the corporate risk register           | Six Monthly |
| <b>3<sup>rd</sup> Dec 2019</b>   |  |   |   |             |
|                                  | Progress Report on Internal Audit Activity                             | Internal Auditors – Emma Hodds/Faye Haywood       |   | Quarterly   |
|                                  | Follow Up Report on Internal Audit Recommendations                     | Internal Auditors – Emma Hodds/Faye Haywood       | To include update on historical recommendations | Six Monthly |
|                                  | Anti-money laundering policy   | Internal Auditors – Emma Hodds/Faye Haywood       |   | Annual      |
|                                  | Civil Contingencies Update   | Internal Auditors – Emma Hodds/Faye Haywood       |   | Annual      |

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| 24 <sup>th</sup> March 2020 |   |  |  |             |
|-----------------------------|---|--|--|-------------|
|                             | EY Audit Plan (with overview)<br>Annual Grant<br>Certification Report from EY | External Auditors - EY                               |  | Annual      |
|                             | Progress Report on Internal Audit<br>Activity                                 | Internal Auditors – Emma Hodds/Faye<br>Haywood       |  | Quarterly   |
|                             | Undertake self-assessment   | Internal Auditors – Emma Hodds/Faye<br>Haywood       |  | Annual      |
|                             | Strategic and Annual Audit Plans  | Internal Auditors – Emma Hodds/Faye<br>Haywood       |  | Annual      |
|                             | Technical update for accounts<br>closedown 2019/20                            | Chief Technical Accountant – Lucy Hume               |  | Annual      |
|                             | Corporate Risk Register   | Head of Finance & Asset Management –<br>Duncan Ellis | To review the corporate risk<br>register             | Six Monthly |
|                             | Risk Management Framework   | Head of Finance & Asset Management –<br>Duncan Ellis | To review the Council's risk<br>management framework | Annual      |