

## 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            |   |             |
|                                  | Corporate Risk Register   | Head of Finance & Asset Management – Duncan Ellis |   | Quarterly   |
| <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           | Quarterly   |
| <b>3<sup>rd</sup> Dec 2019</b>   |   |   |   |             |
|                                  | Corporate Risk Register   | Head of Finance & Asset Management – Duncan Ellis |   | Quarterly   |
|                                  | 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 |

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