



# Audit and Standards Committee Forward Plan June 2016 - May 2017

If you would like to know more about our work programme, please get in touch with Louise Morris, Scrutiny Support Officer, 01785 276144 or [louise.morris@staffordshire.gov.uk](mailto:louise.morris@staffordshire.gov.uk)

Item and lead officer	Date of meeting	Detail	Action/Outcome
Information Governance Head of Information Governance	<b>21 March 2016</b>	Annual Report	Members received the Information Governance annual report and noted the work ongoing. An increase in cyber-attacks was investigated where necessary.
Protecting the Public Purse Chief Internal Auditor		Fraud Briefing/ Awareness Training	Members received a presentation: Protecting the Public Purse raising awareness of fraud, how it can arise and why it is important to mitigate ongoing threat.
Members Standards Director of Strategy, Governance and Change		Annual Statement	Members received the report in respect of Complaints against members of the county council.
External Audit Plan 2015-16 Ernst & Young			Members approved the External Audit Plan 2015-16; agreed that a letter should be sent to the Leader of the County Council recommending the appointment of a Cabinet Member without portfolio to act as a gatekeeper for the County Councils finances; and asked for arrangements for scrutinising Entrust to be investigated.
Staffs Pension Fund – External Audit Plan 2015-16 Ernst & Young			Members approved the Pensions Fund External Audit Plan 2015-16

Item and lead officer	Date of meeting	Detail	Action/Outcome
External Audit Ernst & Young	<b>27 June 2016</b>	Progress Report	The committee received the progress report; sought assurance that SLT could evidence that the County Council is achieving Value for Money; and, asked about the likely cost and necessity of identifying the Highways Network Asset, in line with CIPFA Code of Practice.
Internal Audit Chief Internal Auditor		<ul style="list-style-type: none"> <li>• Outturn Report 2015-16</li> <li>• Strategy and Plan 2016-17</li> <li>• Charter</li> </ul>	The committee received the Internal Audit Outturn report including the annual audit opinion and the Internal Audit Strategy and Plan for 2016-17. They noted two small revisions to the Internal Audit Charter for 2016-17.
Code of Corporate Governance Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources		Update on action plan	Members noted progress towards implementing the Corporate Governance Action Plan 2015-16 and in particular revising the Code of Conduct. The revised framework contained a number of key changes to the principles which determine the County Councils governance arrangements.
Better Care Fund (BCF) Director for Health and Care		Management of Risk	Members received an update on managing risk around the Better Care Fund.
Annual Governance Statement Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources	<b>12 September 2016</b>		The Committee approved the Annual Governance Statement. It was agreed that the Chairman write to the Leader of the Council regarding the Committee's concerns in relation to delegating decisions to one Cabinet Member, in particular making reference to recommendations made previously by Corporate Review and concerns regarding the BCF.

Item and lead officer	Date of meeting	Detail	Action/Outcome
Statement of Accounts 2015/6 Chief Accountant	<b>12 September 2016 continued</b>	<ul style="list-style-type: none"> <li>• County Council</li> <li>• Pension Fund</li> </ul>	The Committee gave approval to the 2015/2016 Statement of Accounts as included in the Committee papers and the letters of representation from the Director of Finance and Resources.
Report to those charged with Governance  Report of Ernst & Young			The Committee noted the Staffordshire County Council Audit Results Report – ISA (UK and Ireland) 260 for the year ended 31 March 2016 and the Staffordshire Pension Fund Audit Results Report – ISA (UK and Ireland) 260 for the year ended 31 March 2016
Code of Corporate Governance  Director of Strategy, Governance and Change <i>and</i> Director of Finance and Resources		To receive the new Code	The Committee noted the updated Code of Corporate Governance, the revised Single Sheet Local Framework and the progress on developing the Corporate Governance Action Plan 2016/17.
Future External Audit Procurement  Report of the Director of Finance and Resources			The Committee recommended that Full Council ‘opt-in’ to the Local Government Association Sector Led Body approach via Public Sector Audit Appointments Ltd for the procurement of the External Audit contract for the financial year commencing April 2018.
Health, Safety and Wellbeing Performance  Health, Safety & Wellbeing Manager	<b>5 December 2016</b>	Annual Report	
Annual Audit Letter 2015-16  Report of Ernst & Young			

Item and lead officer	Date of meeting	Detail	Action/Outcome
Internal Audit Plan 2016-17 Chief Internal Auditor	<b>5 December 2016 continued</b>	Update	
National Fraud Initiative Chief Internal Auditor		Update	
Fraud Briefing Counter Fraud Manager <i>and</i> Chief Internal Auditor		Briefing/Awareness Training	
SSOTP Head of Financial Strategy and Support		Management of Risk	
Internal Audit Reports – Update on Limited Assurance Review Update			
Preparing for Self Assessment - evaluate the effectiveness of Audit and Standards Committee  Chief Internal Auditor and Head of Democracy	<b>March 2017</b>		
Risk Management  Chief Internal Auditor		Briefing/Awareness Training	
Pensions Pooling			

Item and lead officer	Date of meeting	Detail	Action/Outcome
Internal Audit Reports Chief Internal Auditor	All meetings as required.	Internal Audit Reports: <ul style="list-style-type: none"> <li>• High Risk reviews</li> <li>• Limited Assurance Reviews</li> <li>• Special Investigations</li> </ul>	Members discussed the detail of the following limited assurance reviews and were assured that in each case satisfactory progress was being made to rigorously address the areas of risk identified by Internal Audit: <ul style="list-style-type: none"> <li>• Settlement Agreements</li> <li>• Oracle Database Security</li> <li>• Independent Foster Agencies – Contract Management</li> <li>• SEN transport</li> <li>• DBS Safer Recruitment</li> <li>• Procurement (outside the commercial team)</li> </ul>
Work programme for the Audit and Standards Committee	All meetings		
Proposed changes to the Constitution:  Politically Restricted Posts  Director of Strategy, Governance and Change	As required  27 June 2016	Approval to amending the Council's constitution	The committee approved the change to the list of politically restricted posts and recommended the change to Council.
<b>Other items:</b>		<ul style="list-style-type: none"> <li>• Auditing in a Commissioning environment (cybercrime)</li> <li>• External Assessment of Internal Audit</li> <li>• Local Public Audit - update</li> <li>• Procurement Regulations and Financial regulations.</li> <li>• Penda property partnership</li> </ul>	A development day on Penda Property Partnership will be offered to all members

**Membership**  
**County Councillors**

Martyn Tittley (Chairman)  
Mike Davis (Vice Chairman)  
Derek Davies OBE  
William Day  
Brian Edwards  
Michael Greatorex  
Derrick Huckfield  
Kevin Jackson  
Philip Jones  
Robert Marshall  
David Smith  
Alison Spicer  
Diane Todd

Mike Worthington  
Caroline Wood

**Calendar of Committee Meetings**

27 June 2016  
12 September 2016  
5 December 2016 2pm  
13 March 2017

Meetings usually take place at County Buildings, Martin Street,  
Stafford ST16 2LH