

### Governance and Audit Committee Draft Work Plan 2020-21

Item	Current Issues/Status	Meeting Date	Outcome Sought
External Audit Plan	Overview of the planned scope and timing of the statutory audit of the final accounts and the Value for Money work for the financial year 2019/20.	4 June 2020	The Committee to accept the 2019/20 External Audit Plan appended to the report.
Internal Audit Progress Report	Update from the Council's Internal Auditors.		To review and note the contents of the report.
Internal Audit Annual Report	Annual report on the audit work undertaken during the 2019/20 period.		To review and note the contents of the report.
Internal Audit Plan	Update on the Plan for 2020/21.		To review and consider approving the Internal Audit Plan for 2020/21.
Statement of Accounting Policies	Annual report prior to the preparation of the Statement of Accounts to ensure that the policies are up to date and in line with the CIPFA Code of Practice.		To consider approving the Statement of Accounting Policies.
Risk Management Framework – proposed changes	This report is a follow up to the report presented in December 2019. At the request of Committee the report further details the move from a Corporate Risk Register to a Strategic Risk Register.		To consider approving the proposed move from a Corporate Risk Register to a Strategic Risk Register.
Counter Fraud Annual Report	Report to review the counter fraud arrangements in place and the activities that are being undertaken to mitigate those risks.	23 July 2020	To review the contents of the report and consider approving the proposed workplan for 2020/21.
Health and Safety Annual Report	Report to give an overview of the health and safety management arrangements within South Kesteven District Council and identify key areas of focus.		To review and note the contents of the report.
Risk Management and Business Continuity Annual Report	Review of the risk management arrangements and mitigations in place and annual update of service level business continuity plans.		To review and note the contents of the report.

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Treasury Management Annual Report	Report providing details of the Council's treasury management activity for the financial year 2019/20.	23 July 2020	To review and note the contents of the report.
Draft Financial Outturn	Detail of the Council's outturn position for the financial year 2019/20.	13 August 2020	To review the contents of the report and consider approving any reserve movements, Capital slippages and creation of reserves.
Draft Statement of Accounts	The draft Statement of Accounts must be approved by 21 August 2020		To consider approving the Draft Statement of Accounts.
<i>Risk Management Training</i>			
Risk Management Framework	Review revisions to the Risk Management Framework.	5 November 2020	To review and consider approving the Risk Management Framework.
Strategic Risk Register	The Strategic Risk Register is presented to the Committee twice a year as part of the monitoring and review of the risk management arrangements.		To review and consider approving the Strategic Risk Register.
External Audit Annual Governance Report	Report outlining the key findings arising from the statutory audit of South Kesteven District Council.	19 November 2020	To review and note the contents of the report.
Internal Audit Progress Report	Update from the Council's Internal Auditors.		To review and note the contents of the report.
Internal Audit Follow-up Report	Report of follow up progress made to implement any previously agreed management actions.		To review and note the contents of the report.
Statement of Accounts – Final	The Statement of Accounts, including the Annual Governance Statement, must be approved each year by the statutory deadline.		To approve the 2019/20 Statement of Accounts and their publication on the Council's website.

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Ombudsman Annual Report	Annual review of complaints received and decisions made from the Local Government Ombudsman Letter.	19 November 2020	To review and note the contents of the report.
Safeguarding Annual Report	An overview of the Council's involvement in the safeguarding of children, young people and vulnerable adults for 2019/20.		To review and note the contents of the report.
Treasury Management Mid-Year Review	Update on treasury and debt management operations during the financial year.		To review and note the contents of the report.
External Audit Annual Audit Letter	Annual letter from the Council's external auditors	18 March 2021	To review and note the contents
Certification of the 2019/20 Housing Benefit Subsidy Claim	The Committee are updated annually on any significant payments or errors to report from the Housing Benefit Subsidy Claim.		To note the update
External Audit Plan	Overview of the planned scope and timing of the statutory audit of the final accounts and the Value for Money work in respect of the financial year 2020/21.		To consider accepting the External Audit Plan.
Internal Audit Progress Report	Update from the Council's Internal Auditors.		To review and note the contents of the report.
Internal Audit Follow Up Report	Report to follow up progress made to implement any previously agreed management actions.		To review and note the contents of the report.
Internal Audit Annual Report	Annual report on the audit work undertaken during the 2020/21 period.		To review and note the contents of the report.
Internal Audit Plan 2021/22	Update on the Plan for 2021/22.		To review and consider approving the Internal Audit Plan for 2021/22.

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Strategic Risk Register	The Strategic Risk Register is presented to the Committee twice a year as part of the monitoring and review of the risk management arrangements.	18 March 2021	To review and consider approving the Strategic Risk Register.
Counter Fraud Strategy	A review of the Council's counter fraud arrangements on a biennial basis.		To approve the Counter Fraud Strategy.
Statement of Accounting Policies	Annual report prior to the preparation of the Statement of Accounts to ensure that the policies are up to date and in line with the CIPFA Code of Practice.		To consider approving the Statement of Accounting Policies.
Pension Assumptions			
Review of Effectiveness and Terms of Reference	Biennial review of the Committee's Terms of Reference.		To consider the Committee's work over the previous two municipal years and suggest changes to the Terms of Reference if necessary.
Corporate Governance report	The Corporate Governance report was undertaken by an external consultant in 2019. The Chairman and Vice-Chairman have requested that an overview of the report be presented to the Committee	To be confirmed (after the approval of the Corporate Plan)	To receive and monitor the actions arising from the Corporate Governance report
External Audit Ad hoc reporting		<i>As required</i>	
Code of Corporate Governance			
Regulatory policies e.g. Contract and Procurement Procedure Rules, Code of Conduct			
Financial Regulations			
Treasury Management Strategy			