

Audit Committee Proposed Work Programme for 2022-23

The schedule of meetings set out below is proposed but the committee reserves the right to review and amend the work programme content and meeting dates throughout the year in order to meet its objectives and purpose as set out in the [Constitution](#).

Key to activity (incorporating TOR)	Desired Outcomes	Key
Governance risks around high level financial strategy and reserves		
Governance risks connected to asset realisation		
Governance of Capital programme and projects		
Value for Money and Delivering Objectives		
Governance of linked incorporated bodies		
Core functions arising from statutory obligations and guidance		
Annual Assurance reports		

Date	Item	Committee Objective	Outcome	Director	Author								
Apr 2022	TfN workstream leads Theme 7 (Service Design & Delivery)	Assurance on progress, benefit realisation, controls, associated risks and their management	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	C Underwood I O'Donovan	R Grice
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	Annual Information Security & Information Governance Compliance Assurance (including Service Report on progress following Limited Assurance IA Report –IT Security)	Assurance that cross-cutting corporate arrangements are working well and any significant risk and issues are being actively managed.	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	M Townroe	S Salmon N Matthews
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	Health & Safety Annual Assurance	Assurance that cross-cutting corporate arrangements are working well and any significant risk and issues are being actively managed.	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	M Townroe	P Millward
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	HR & EDI Annual Assurance	Assurance that cross-cutting corporate arrangements are working well and any significant risk and issues are being actively managed	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	R Henderson	T Hayre-Bennett
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	Exemption from Contract Procedure Rules Q3	Oversight of procurement dispensations and assurance on their future procurement process	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	C Heaphy	S Oakley
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	Statement of Accounts 2019-20 & Final AGS 2019-20	Consider any concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	C Heaphy	D Middleton
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Date	Item	Committee Objective	Outcome	Director	Author
	External Audit Report 2020-21	Consider the outcome of the External Audit and assurance on management response to issues identified	X X X X X		A Smith
	Statement of Accounts 2020-21 & Final AGS 2020-21	Consider any concerns arising from the financial statements or from the governance statement that need to be brought to the attention of the Council	X X X X X X X	C Heaphy	D Middleton
Jun 2022	Corporate Risk Update	Assurance that appropriate arrangements are in place to manage risk	X X X X X	C Heaphy	S Shah
	Companies Update (TfN Theme 3)	Assurance on progress, benefit realisation, controls, associated risks and their management to ensure that the Council has in place appropriate arrangements to manage risks connected to its investments in companies	X X X X X X	C Heaphy	I Edward
	Updates from Working Groups	Audit Committee Performance	X X X		
	Annual Work Programme	Audit Committee Performance	X X X	C Heaphy	S Shah
	Service Report on Progress following Limited Assurance IA Report – ICT Procurement	Assurance on improvements planned and made and how these will be sustained	X X X X	C Heaphy	S Oakley
	TfN workstream lead Theme 2 (Asset Management)	Assurance on progress, benefit realisation, controls, associated risks and their management	X X X X X X	S Rose	N Jenkins
	Exemption from Contract Procedure Rules Q4	Oversight of procurement dispensations and assurance on their future procurement process	X X X	C Heaphy	S Oakley
Sep 2022	Audit Committee Annual Report	Audit Committee Performance	X X X X		CLlr S Mohammed

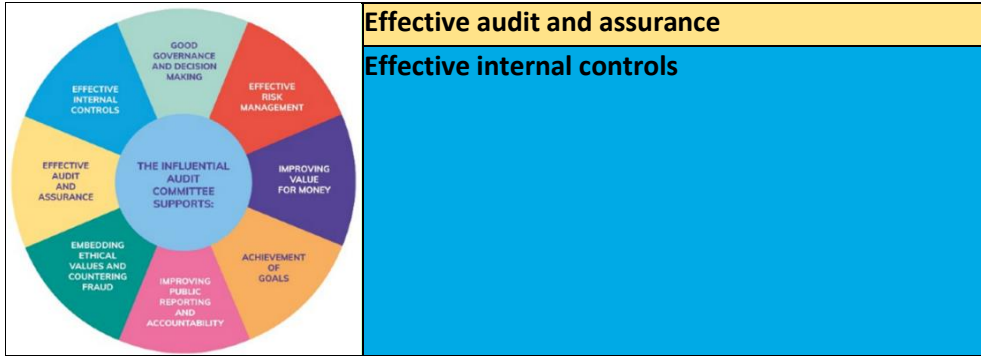
Date	Item	Committee Objective	Outcome	Director	Author
	Treasury Management Annual Report	Assurance on management of Treasury Management risks in accordance with Council policy	X X X X	C Heaphy	D Middleton
	IA Annual Report & Opinion including Counter Fraud Strategy and update including Limited Assurance audits and High Priority Recommendations	Consider arrangements for Internal Audit, reports on the effectiveness of internal controls supporting the Head of Audit & Risk's opinion, and seek assurance on the implementation of agreed actions	X X X X	C Heaphy	S Shah
	Service Report on Progress following Limited Assurance IA Report – Business Rates	Assurance on improvements planned and made and how these will be sustained	X X X	C Heaphy	D Middleton L Lee
	External Audit Update	Consider the update from External Audit and assurance on management response to any issues identified	X X X		A Smith
	Customer Experience / Complaints & Ombudsman Annual Assurance	Assurance that cross-cutting corporate arrangements are working well and any significant risk and issues are being actively managed	X X X	C Heaphy	L Lee
	Exemption from Contract Procedure Rules Q1	Oversight of procurement dispensations and assurance on their future procurement process	X X X	C Heaphy	S Oakley
	HRA & Emerging Risk	Update on emerging risks	X X X	C Heaphy	
Nov 2022	Council Plan & Corporate Performance Assurance & TfN workstream lead Theme 8 (Council Plan)	Assurance on progress, benefit realisation, controls, associated risks and their management	X X X X	M Barrett I O'Donovan	J Rhodes
	External Audit Update	Consider the update from External Audit and assurance on management response to any issues identified	X X X		A Smith
	Implementation of Controls to ensure Decisions include Carbon Impact Assessments	Consider compliance with controls implemented to ensure relevant decisions are supported by a Carbon Impact Assessment	X X X X	S Rose	C Common

Date	Item	Committee Objective	Outcome	Director	Author
	Companies Governance Sub-Committee Update (TfN Theme 3)	Assurance on progress, benefit realisation, controls, associated risks and their management to ensure that the Council has in place appropriate arrangements to manage risks connected to its investments in companies	X X X X X X	C Heaphy	I Edward
	Risks associated with Tram finances	Consider the risks and assurances in relation to financing of the Nottingham tram system	X X X X X	S Rose	S Tough
	Treasury Management Half Year Report	Assurance on management of Treasury Management risks in accordance with Council policy	X X X X X X	C Heaphy	D Middleton
	Internal Audit Update including Limited Assurance audits and High Priority Recommendations	Consider reports on the effectiveness of internal controls supporting the Head of Audit & Risk's opinion and seek assurance on the implementation of agreed actions	X X X X X X	C Heaphy	S Shah
	TfN workstream lead Theme 5 (Constitution-Governance and Decision Making)	Assurance on progress, benefit realisation, controls, associated risks and their management	X X X X X X	M Townroe	M Townroe
	Procurement of External Audit 2023-2028 update	Assurance that arrangements for statutory inspection of financial statements are in place	X X X X X	C Heaphy	S Shah
	TfN workstream lead Theme 5 (Constitution-Governance and Decision Making)	Assurance on progress, benefit realisation, controls, associated risks and their management	X X X X X X	M Townroe	M Townroe
	Service Report on Progress following Limited Assurance IA Report - (Procurement Dispensations & Contract Management)	Assurance on improvements planned and made and how these will be sustained	X X X X X X	C Heaphy	S Oakley
	Exemption from Contract Procedure Rules Q2	Oversight of procurement dispensations and assurance on their future procurement process	X X X X	C Heaphy	S Oakley

Date	Item	Committee Objective	Outcome	Director	Author								
	Progress on S114 Action Plan	Oversight of progress and management for significant issue	<table border="1"><tr><td></td><td></td></tr><tr><td>X</td><td></td></tr><tr><td></td><td>X</td></tr><tr><td>X</td><td></td></tr></table>			X			X	X		C Heaphy	
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Feb 2023	Together for Nottingham Plan update including Theme 1 (MTFS) & Performance Management	Assurance on progress, benefit realisation, controls, associated risks and their management	<table border="1"><tr><td>X</td><td>X</td></tr><tr><td>X</td><td>X</td></tr><tr><td>X</td><td>X</td></tr><tr><td>X</td><td>X</td></tr></table>	X	X	X	X	X	X	X	X	C Heaphy	D Middleton J Rhodes
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	Treasury Mgt Strategy & Capital Strategy	Assurance on setting Council policies to best manage Treasury Management & Capital risks	<table border="1"><tr><td>X</td><td></td></tr><tr><td>X</td><td></td></tr><tr><td>X</td><td>X</td></tr><tr><td></td><td>X</td></tr></table>	X		X		X	X		X	C Heaphy	D Middleton
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	Corporate Risk & Assurance Register	Assurance that appropriate arrangements are in place to manage risk	<table border="1"><tr><td>X</td><td></td></tr><tr><td>X</td><td></td></tr><tr><td></td><td>X</td></tr><tr><td>X</td><td>X</td></tr></table>	X		X			X	X	X	C Heaphy	S Shah
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	AGS Process 2022-23	Assurance on arrangements for a review of the Council's governance	<table border="1"><tr><td>X</td><td></td></tr><tr><td>X</td><td></td></tr><tr><td></td><td>X</td></tr><tr><td></td><td>X</td></tr></table>	X		X			X		X	C Heaphy	S Shah
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	Review of Accounting Policies 2020/21	Assurance that appropriate arrangements are made to comply with statutory guidance	<table border="1"><tr><td>X</td><td>X</td></tr><tr><td></td><td></td></tr><tr><td></td><td>X</td></tr><tr><td></td><td>X</td></tr></table>	X	X				X		X	C Heaphy	D Middleton
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Mar 2023	TfN workstream lead Theme 6 (Organisation & Culture)	Assurance on progress, benefit realisation, controls, associated risks and their management	<table border="1"><tr><td>X</td><td></td></tr><tr><td>X</td><td></td></tr><tr><td>X</td><td>X</td></tr><tr><td>X</td><td>X</td></tr></table>	X		X		X	X	X	X	M Barrett R Henderson	T Hayre-Bennett
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tbc	Final Statement of Accounts, Annual Governance Statement & External Audit Report 2019-20 2020-21	Consider the outcome of the External Audit and assurance on management response to issues identified Consider any concerns arising from the financial statements or from the governance statement that need to be brought to the attention of the Council	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X	X	X	X	X	X	C Heaphy	D Middleton S Shah A Smith
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tbc	Financial Accounts Training	Audit Committee Performance	<table border="1"> <tr><td>X</td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td>X</td></tr> <tr><td></td><td></td></tr> </table>	X					X			C Heaphy	D Middleton
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tbc	Draft Statement of Accounts 2021-22 & Interim AGS 2021-22	Consider any concerns arising from the financial statements or from the governance statement that need to be brought to the attention of the Council	<table border="1"> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td></td></tr> <tr><td>X</td><td>X</td></tr> <tr><td>X</td><td>X</td></tr> </table>	X	X	X		X	X	X	X	C Heaphy	D Middleton
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tbc	Final Statement of Accounts 2021-22 & Final AGS 2021-22 (subject to audit)	Consider any concerns arising from the financial statements or from the governance statement that need to be brought to the attention of the Council	<table border="1"> <tr><td>X</td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td>X</td></tr> <tr><td></td><td></td></tr> </table>	X					X			C Heaphy	D Middleton
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Desired Outcomes	Key to Influential Audit Committee Outcomes
	Good governance and decision making
	Effective risk management
	Improving value for money
	Achievement of Goals
	Improving public reporting and accountability
	Embedding ethical values and countering fraud



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