

Audit and Risk Management Work Programme ~~2012/13~~2013/14

(Please note - additions since last meeting in italic)

Date	Items
Tues 24 Jul 2012	 <p>Audited 2011/12 City Fund and Pension Fund Financial Statements together with Deloitte's report thereon</p> <p>Audited 2011/12 Bridge House Estates and Sundry Trusts Financial Statements together with Deloitte's report thereon</p> <p>Audited 2011/12 City's Cash and City's Cash Trust Funds Financial Statements together with Deloitte's report thereon</p>
Thurs 20 Sep 2012	 <p>Internal Audit Progress Report</p> <p>Internal Audit Planning 2013/14</p> <p>Internal audit recommendations follow-up report</p> <p>Anti-Fraud & Investigation Update report (Quarterly, as set out on the Outstanding Actions List)</p> <p>Risk Management Update Strategic Risk 8 — Reputation Risk</p> <p>Strategic Risk 10 — Adverse Political Developments</p> <p>Audit & Risk Management Committee Effectiveness Review</p> <p>Health and Safety Policy Framework (update from the Outstanding Actions List)</p>
Weds 12 Dec 2012	 <p>Deloitte's Annual Audit Letter on the City Fund and Pension Fund Financial Statements</p> <p>Deloitte's annual audit plan for City Fund Financial Statements including agreement of the audit fee</p> <p>Deloitte's annual audit plan for the Pension Fund Financial Statements including agreement of the audit fee</p> <p>Deloitte's annual audit plan for the Non-Local Authority Funds including agreement of the audit fee</p> <p>Update on Hampstead Heath Hydrology (and then at 9 monthly intervals — update from Outstanding Actions List)</p> <p>Internal Audit Progress Report</p> <p>Internal audit recommendations follow-up report</p> <p>Anti-Fraud & Investigation Update report</p> <p>Risk Management Update</p> <p>Strategic Risk 3 — Financial Stability</p>

Tues 05 Feb 2013	<p>Internal Audit Plan – 2013/14</p> <p>Risk Management Update (Incl. review of 2 x Strategic Risks – TBC) – SR4 – Planning Policy; SR5 – Flooding in the City</p> <p>Independent review of the Risk Management Strategy and Handbook</p>
Tues 05 Mar 2013	<p>Deloitte's Annual Grant Certifications Letter</p> <p>Internal audit update report</p> <p>Internal audit recommendations follow-up report</p> <p>Anti-Fraud & Investigation Update report</p>

Internal audit update report

Internal audit recommendations follow-up report

Anti-Fraud & Investigation Update report

HMIC Inspections to be scheduled as required (Item 7 on Outstanding Actions)

<u>17 Sept 2013</u>	<p><u>Internal Audit Progress Report</u></p> <p><u>Internal audit recommendations follow-up report</u></p> <p><u>Anti-Fraud & Investigation Update report</u></p> <p><u>Risk Management Update</u></p> <p><u>Strategic Risk 11 – Pond Embankment Failure</u></p> <p><u>Strategic Risk 13 – Public Order and Protest</u></p>
<u>15 Oct 2013</u>	<p><u>Independent Review of Risk Management Strategy and Handbook</u></p> <p><u>Strategic Risk Review 8 – Reputational Risk</u></p> <p><u>Strategic Risk Review 10 – Adverse Political Developments</u></p> <p><u>Internal Audit Planning 2014/15</u></p>
<u>11 Dec 2013</u>	<ul style="list-style-type: none"> • <u>Deloitte's Annual Audit Letter on the City Fund and Pension Fund Financial Statements</u> • <u>Deloitte's annual audit plan for City Fund Financial Statements including agreement of the audit fee</u> • <u>Deloitte's annual audit plan for the Pension Fund Financial Statements including agreement of the audit fee</u> • <u>Strategic Risk Review - SR14 Longer term financial viability</u> • • <u>Deloitte's annual External Audit - annual audit plan for the Non Local Authority Funds including agreement of the audit fee</u> • <u>Internal Audit Progress Report</u>

	<ul style="list-style-type: none"> • Internal audit recommendations follow-up report • Anti-Fraud & Investigation Update report • Anti-Fraud & Investigation Update report • Risk Management Update • Strategic Risk 3 – Financial Stability • Strategic Risk 14 – Longer term Financial Viability
28 January 2014	<ul style="list-style-type: none"> • Strategic Risk Review - SR3 Financial Stability • Strategic Risk Review – SR11 Pond Flood Risk • Committee Effectiveness Review – annual update • Internal Audit Customer Satisfaction Review – update on actions list • CQC Inspection Report – Re-ablement Service – Community and Children’s Services
4 March	<ul style="list-style-type: none"> • 2014/15 Internal audit plan • Internal Audit Progress Report • Internal Audit recommendations follow-up report • Internal Audit Customer Satisfaction Review (review of actions list) • Investigation Update report • Risk Management Update • Strategic Risk Review - SR4 Planning Policy • Strategic Risk Review - SR5 Flooding in the City • Annual Governance Statement - methodology
13 May May (continued)	<ul style="list-style-type: none"> • Internal Audit Progress Report • Internal audit recommendations follow-up report • Anti-Fraud & Investigation Update report • Risk Management Update • Strategic Risk Review - SR2 Supporting the Business City • Strategic Risk Review - SR6 Project Risk • Head of Internal Audit Opinion and Annual report • HMIC Police Inspections Summary report • Annual Governance Statement – 2013/14 • Private Member meeting with Head of Internal Audit
22 July	<ul style="list-style-type: none"> • Audited 2013/14 City Fund and Pension Fund Financial

	<p><u>Statements together with Deloitte's report thereon</u></p> <ul style="list-style-type: none"> • <u>Audited 2013/14 Bridge House Estates and Sundry Trusts Financial Statements together with Deloitte's report thereon</u> • <u>Audited 2013/14 City's Cash and City's Cash Trust Funds Financial Statements together with Moore Stephens report thereon</u>
<u>9 September</u>	<ul style="list-style-type: none"> • <u>Internal Audit Progress Report</u> • <u>Internal audit recommendations follow-up report</u> • <u>Investigations Update report</u> • <u>Risk Management Update</u> • <u>2 Strategic Risk Reviews – tbc</u>
<u>4 November</u>	<ul style="list-style-type: none"> • <u>Internal Audit Planning for 2014/15</u> • <u>2 Strategic Risk Reviews – tbc</u>
<u>8 December</u>	<ul style="list-style-type: none"> • <u>Deloitte's Annual Audit Letter on the City Fund and Pension Fund Financial Statements</u> <ul style="list-style-type: none"> • <u>Deloitte's annual audit plan for City Fund Financial Statements including agreement of the audit fee</u> • <u>Deloitte's annual audit plan for the Pension Fund Financial Statements including agreement of the audit fee</u> • <u>Moore Stephens - annual audit plan for the Non Local Authority Funds including agreement of the audit fee</u> • <u>Internal Audit Progress Report</u> • <u>Internal audit recommendations follow-up report</u> • <u>Anti-Fraud & Investigation Update report</u> • <u>Risk Management Update</u>