



## **Annual agenda plan**

### **Purpose**

- 1 This paper notifies the Committee of proposed agenda items for future meetings of the Committee.

### **Agenda items**

- 2 Proposed agenda items for forthcoming Committee meetings are shown in the Annex.
- 3 Members are invited to send comments on the annual agenda plan to either the Secretary or Clerk to the Audit and Compliance Committee.

### **Risk assessment**

- 4 There are no risks associated with this paper.

### **Equality and diversity assessment**

- 5 There are no equality and diversity issues specific to the long-term agenda plan.

### **Publication**

- 6 This paper will be published on the Council website following the Committee meeting.

### **Recommendations**

- 7 The Committee is invited to:
  - Note the proposed agenda items.
  - Suggest any further additions or amendments to this list.

### **Financial implications**

- 8 There are no direct financial implications associated with this paper.

## **Further information**

- 9 Contact: Martin Fairbairn, Secretary to the Audit and Compliance Committee (direct line: 0131 313 6524; email: [mfairbairn@sfc.ac.uk](mailto:mfairbairn@sfc.ac.uk)), or Sheila Meehan, Clerk to the Audit and Compliance Committee (direct line: 0131 313 6619, email: [smeehan@sfc.ac.uk](mailto:smeehan@sfc.ac.uk)).

	<b>3 September 2019</b>	<b>11 December 2019</b>	<b>5 March 2020</b>	<b>June 2020</b>
<b>Regularity, compliance and risk management</b>	<ul style="list-style-type: none"> <li>• Risk Register</li> <li>• Annual report on assessment and management of risk and risk management strategy</li> <li>• SFC's Assurance Framework</li> <li>• Procurement Report</li> <li>• Monitoring and evaluation of strategic projects</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Register</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Register</li> <li>• Whistleblowing and fraud annual update</li> <li>• Review of accounting policies</li> <li>• Updated Information Management Framework</li> <li>• Business Continuity Annual Update</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Register</li> <li>• Annual report on legal and regulatory compliance (including information governance)</li> <li>• Best Value Implementation Plan annual update</li> <li>• GDPR update</li> <li>• Business Continuity Annual Update</li> </ul>
<b>External audit and accounts</b>		<ul style="list-style-type: none"> <li>• Annual Audit Plan</li> </ul>	<ul style="list-style-type: none"> <li>• SFC Management Report 2019-20</li> </ul>	<ul style="list-style-type: none"> <li>• External Auditor covering letter including Letter of Representation</li> <li>• SFC's Annual Audit Report 2019-20</li> <li>• Governance Statement 2019-20</li> <li>• SFC annual report and accounts, year ended 31 March 2020</li> </ul>
<b>Internal audit</b>	<ul style="list-style-type: none"> <li>• Follow up of internal audit recommendations</li> <li>• Internal audit reports: <ul style="list-style-type: none"> <li>• Progress</li> <li>• Equality and diversity</li> <li>• Business Continuity planning</li> </ul> </li> <li>• Future internal audit arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Follow up of internal audit recommendations</li> <li>• Internal audit reports: <ul style="list-style-type: none"> <li>• Progress</li> <li>• Financial controls self-assessment</li> <li>• Grant funding distribution</li> <li>• Strategic Planning</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Follow up of internal audit recommendations</li> <li>• Internal audit reports: <ul style="list-style-type: none"> <li>• Progress</li> <li>• Workforce planning</li> <li>• Follow-up</li> </ul> </li> <li>• Draft internal audit plan 2020-21</li> </ul>	<ul style="list-style-type: none"> <li>• Follow up of internal audit recommendations</li> <li>• Internal audit reports: <ul style="list-style-type: none"> <li>• Progress</li> <li>• Annual Internal Audit report 2018-19</li> </ul> </li> <li>• Internal audit plan 2020-21</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>• Annual agenda plan</li> </ul>	<ul style="list-style-type: none"> <li>• Annual agenda plan</li> </ul>	<ul style="list-style-type: none"> <li>• Annual agenda plan</li> <li>• Review of draft effectiveness questionnaires (Committee, internal audit and external audit)</li> </ul>	<ul style="list-style-type: none"> <li>• Annual agenda plan</li> <li>• Future ACC meeting dates</li> <li>• Audit and Compliance Committee draft annual report</li> <li>• Private meetings with internal and external auditors</li> <li>• Committee's review of effectiveness of internal and external auditors</li> </ul>