

GOVERNANCE AND AUDIT COMMITTEE FORWARD WORK PROGRAMME

GOVERNANCE AND AUDIT COMMITTEE – 8th OCTOBER 2024

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
Update from Audit Wales (Standing Item)	To provide the Governance and Audit Committee with information on the work performed by Audit Wales.	To ensure the Governance and Audit Committee has oversight of these activities.	Audit Wales
Draft Annual Self-Assessment Report (Including Well-being Objectives) 2023/24	To present the Governance and Audit Committee with the Draft Annual Self-assessment Report for 2023/24 (Including the Well-being Objectives) for consideration and comment prior to onward submission to the Joint Scrutiny Committee on 28 October 2024 and Cabinet on 13 November 2024.	The Governance and Audit Committee is asked to review the report and if necessary, make recommendations for changes to the conclusions or action the Council intends to take.	R. Roberts
Corporate Risk Register Update	To provide an update on the Corporate Risk Register in accordance with the Council's Risk Management Strategy.	The updated Corporate Risk Register is presented to the Governance and Audit Committee to ensure there is opportunity for the Committee to satisfy itself that appropriate	R. Roberts

		arrangements are in place for the Council's risk management processes to be regularly and robustly monitored and scrutinised.	
Audit Wales Audit of Accounts Addendum report	To present the Governance and Audit Committee with the Audit Wales 'Audit of Accounts Addendum Report' for the 2022/23 financial year.	To ensure that the Committee is informed of the Audit Wales recommendations arising from the audit of the accounts and the associated management responses.	Audit Wales / S. Harris
Audit Wales Financial Sustainability Review – Caerphilly County Borough Council	To present the Governance and Audit Committee with the Audit Wales report on its latest financial sustainability assessment of Caerphilly CBC.	The Governance and Audit Committee is asked to consider and comment upon the content of the Audit Wales report and to note the management responses to the recommendations for improvement.	Audit Wales / S. Harris
Audit Wales Review of Counter Fraud Arrangements – Caerphilly County Borough Council	To present the Governance and Audit Committee with the Audit Wales report on counter fraud arrangements in Caerphilly CBC.	The Governance and Audit Committee is asked to consider and comment upon the content of the Audit Wales report and to note the management responses to the recommendations for improvement.	Audit Wales / S. Harris

Caerphilly CBC Fraud Response Plan	To seek Governance and Audit Committee approval of the Fraud Response Plan.	The Fraud Response Plan defines how the Council will respond to allegations of fraud and provides guidance to officers.	D. Gronow
Caerphilly CBC Fraud Risk Assessment	To inform the Governance and Audit Committee of the Fraud Risk Assessment methodology that has been developed by the Internal Audit Team.	To report the findings of the initial Fraud Risk Assessment and the Fraud Risk Register that has been developed following the risk assessment process.	D. Gronow
INFORMATION ITEMS			
Regulation of Investigatory Powers Act 2000	To advise Members of the numbers of covert surveillance operations undertaken by the Council in accordance with the provisions of the Regulation of Investigatory Powers Act 2000 (RIPA).	The Regulation of Investigatory Powers Act 2000 (RIPA) sets out strict controls for public authorities wishing to carry out covert surveillance of individual members of the public as part of their exercise of their statutory functions.	L. Lane

Officers Declarations of Gifts and Hospitality	To provide the Governance and Audit Committee with information regarding the Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) regarding Gifts and Hospitality for the last quarter and a comparison with the previous three quarters.	To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Gifts and Hospitality.	L. Donovan
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SPECIAL GOVERNANCE AND AUDIT COMMITTEE – 3rd DECEMBER 2024 (TBC)

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
Update from Audit Wales (Standing Item)	To provide the Governance and Audit Committee with information on the work performed by Audit Wales.	To ensure the Governance and Audit Committee has oversight of these activities.	Audit Wales
Recruitment and Retention Update	To provide an update on recruitment and retention in Caerphilly CBC.	To provide the Governance and Audit Committee with details of recruitment activity in the Council along with details of measures to retain staff in key service areas.	L. Donovan

Caerphilly CBC Partnerships and Collaborations Update	To provide an update on the partnership and collaborative working of the Council.	To ensure that the Governance and Audit Committee is updated on the range of partnerships and collaborative working arrangements entered into by the Council.	K. Peters
Review and Refresh of Financial Regulations and Standing Orders for Contracts	To provide the Governance and Audit Committee with the draft revised Financial Regulations and Standing Orders for Contracts for review and endorsement.	To ensure the Governance and Audit Committee has the opportunity to review and endorse the updated Financial Regulations and Standing Orders for Contracts prior to Council consideration.	S. Harris / D. Gronow / I. Evans
Updated Anti-Fraud Action Plan	To present the Governance and Audit Committee with an updated Action Plan in respect of counter-fraud arrangements in Caerphilly CBC.	To ensure that Audit Wales recommendations in this area are fully addressed.	S. Harris / D. Gronow
Peer Review of Internal Audit Services Compliance with the Public Sector Internal Audit Standards (PSIAS).	To provide the Governance and Audit Committee with details of the outcome of the external peer review of Internal Audit Services compliance with the Standards.	To provide details of any actions required to address areas of non-compliance.	D. Gronow

Update on Progress Against the Internal Audit Services Annual Plan 2024/25	To provide the Governance and Audit Committee with an update on progress against the Internal Audit Services Annual Audit Plan.	To provide assurances that satisfactory progress is being made and to provide details of any in-year changes to the Plan as appropriate.	D. Gronow
Update on Internal Audit Report Recommendations	To provide members of the Governance and Audit Committee with an update on progress against Internal Audit Report recommendations.	To provide an update on the number of recommendations arising from Internal Audit reviews and their current status.	D. Gronow

GOVERNANCE AND AUDIT COMMITTEE – 21st JANUARY 2025

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
Update from Audit Wales (Standing Item)	To provide the Governance and Audit Committee with information on the work performed by Audit Wales.	To ensure the Governance and Audit Committee has oversight of these activities.	Audit Wales

<p>Annual Report on the Corporate Complaints Received for the Period 1st April 2023 to 31st March 2024</p>	<p>The purpose of this report is to provide the Governance and Audit Committee with an overview of the complaints dealt with under the Corporate Complaints policy for the twelve-month period 1st April 2023 to 31st March 2024, together with the outcomes and lessons learned.</p>	<p>To provide the Committee with complaints data to enable the Committee to review and assess the effectiveness of complaints handling for the twelve-month period.</p>	<p>L. Lane</p>
<p>Regulator Recommendations for Improvement Progress Update</p>	<p>To update members on progress of recommendations that have been made by all regulators since the last Governance and Audit Committee update, and to advise on any new proposals that have been added since that time.</p>	<p>To ensure the Governance and Audit Committee has oversight of this matter.</p>	<p>R. Roberts</p>
<p>Update on Progress Against the Internal Audit Services Annual Plan 2024/25</p>	<p>To provide the Governance and Audit Committee with an update on progress against the Internal Audit Services Annual Audit Plan.</p>	<p>To provide assurances that satisfactory progress is being made and to provide details of any in-year changes to the Plan as appropriate.</p>	<p>D. Gronow</p>
<p>Update on Internal Audit Report Recommendations</p>	<p>To provide members of the Governance and Audit Committee with an update</p>	<p>To provide an update on the number of recommendations arising from Internal Audit</p>	<p>D. Gronow</p>

	on progress against Internal Audit Report recommendations.	reviews and their current status.	
INFORMATION ITEMS			
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Officers Declarations of Gifts and Hospitality	To provide the Governance and Audit Committee with information regarding the Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) regarding Gifts and Hospitality for the last quarter and a comparison with the previous three quarters.	To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Gifts and Hospitality.	L. Donovan