

GOVERNANCE AND AUDIT COMMITTEE FORWARD WORK PROGRAMME

| GOVERNANCE AND AUDIT COMMITTEE – 21st JANUARY 2025 | | | |
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| 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 |
| Annual Report on the Corporate Complaints Received for the Period 1 st April 2023 to 31 st March 2024 | 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 31 st March 2024, together with the outcomes and lessons learned. | 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. | L. Lane |
| Regulator Recommendations for Improvement Progress Update | 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 | To ensure the Governance and Audit Committee has oversight of this matter. | S. Richards / J. Pearce |

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| | any new proposals that have been added since that time. | | |
| 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 |
| 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 |
| 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 | 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 | L. Lane |

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| | of Investigatory Powers Act 2000 (RIPA). | public as part of their exercise of their statutory functions. | |
| 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 |

GOVERNANCE AND AUDIT COMMITTEE – 15th APRIL 2025

| TITLE | PURPOSE | KEY ISSUES | PRESENTING OFFICER |
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| 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 |
| 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 | J. Pearce |

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| | | arrangements are in place for the Council's risk management processes to be regularly and robustly monitored and scrutinised. | |
| Six-month Update on Corporate Complaints Received | 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 six month period 1st April 2024 to the 30th September 2024 together with the outcomes and lessons learned. | To provide the Committee with complaints data to enable the Committee to review and assess the effectiveness of complaints handling for the six-month period. | L. Lane |
| 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 |
| Internal Audit Services Annual Audit Plan 2025/26 | To seek Governance and Audit Committee approval of the Internal Audit Services Annual Audit Plan for the 2025/26 financial year. | The Governance and Audit Committee is responsible for ensuring that risk and internal controls are adequately managed and monitored, and that the work planned by Internal Audit will achieve the required levels of assurance. | D. Gronow |

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| 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 |
| Updated Counter-Fraud Policies | To present the Governance & Audit Committee with updated counter-fraud related policies for consideration and approval. | To ensure that robust policies are in place to mitigate the risk of fraud. | D. Gronow |
| The National Fraud Initiative in Wales 2022/23 | To present the Governance and Audit Committee with the Audit Wales report on the National Fraud Initiative in Wales 2022/23. | To provide the Governance and Audit Committee with the key findings and outcomes arising from the 2022/23 National Fraud Initiative and to provide some local context for Caerphilly CBC. | Audit Wales / D. Gronow |
| 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 |
| INFORMATION ITEMS | | | |
| Regulation of Investigatory Powers Act 2000 | To advise Members of the numbers of covert | The Regulation of Investigatory Powers Act 2000 | L. Lane |

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| | surveillance operations undertaken by the Council in accordance with the provisions of the Regulation of Investigatory Powers Act 2000 (RIPA). | (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. | |
| 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 |

GOVERNANCE AND AUDIT COMMITTEE – 27th MAY 2025

| TITLE | PURPOSE | KEY ISSUES | PRESENTING OFFICER |
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| 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 |
| Audit Wales Caerphilly CBC Annual Audit Summary 2024 | To provide the Governance and Audit Committee with | This report forms part of the Auditor General for Wales | Audit Wales |

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| | information in relation to the work completed by Audit Wales since the previous Annual Audit Summary. | duties and aims to ensure that the Governance and Audit Committee is updated appropriately. | |
| Audit Wales – Caerphilly County Borough Council – 2025 Audit Plan | To provide the Governance and Audit Committee with details of the Audit Wales Audit Plan for Caerphilly County Borough Council. | The report will provide details of the Audit Wales work programme for Caerphilly County Borough Council for the 2025/26 financial year. | Audit Wales |
| Annual Internal Audit Report 2024/25 | To inform the Governance and Audit Committee of the Internal Audit Manager’s overall opinion on the Authority’s Internal Control Systems derived from the work undertaken by Internal Audit Services during the 2024/25 financial year. | The Governance and Audit Committee will be asked to note the content of the report and the Internal Audit Manager’s annual opinion for the 2024/25 financial year in order for the Committee to gain the required assurance to fulfil its role. | D. Gronow |
| Draft Annual Governance Statement 2024/25 | To present the Governance and Audit Committee with the Draft Annual Governance Statement for the 2024/25 financial year. | To ensure that the Draft Annual Governance Statement is considered by the Governance and Audit Committee prior to its inclusion in the Draft Financial Statements. | S. Harris |
| Update on Progress Against the Internal Audit Services Annual Plan 2025/26 | To provide the Governance and Audit Committee with an update on progress | To provide assurances that satisfactory progress is being made and to provide details of | D. Gronow |

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| | against the Internal Audit Services Annual Audit Plan. | any in-year changes to the Plan as appropriate. | |
| 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 |
| Regulator Recommendations for Improvement Progress Update | 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. | To ensure the Governance and Audit Committee has oversight of this matter. | S. Richards / J. Pearce |
| Counter-Fraud Update | To provide the Governance and Audit Committee with an update on progress against the Anti-Fraud Action Plan. | To provide assurance to the Governance and Audit Committee that key actions are being progressed. | D. Gronow |
| INFORMATION ITEMS | | | |
| Regulation of Investigatory Powers Act 2000 | To advise Members of the numbers of covert surveillance operations undertaken by the Council | The Regulation of Investigatory Powers Act 2000 (RIPA) sets out strict controls for public authorities wishing | L. Lane |

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| | in accordance with the provisions of the Regulation of Investigatory Powers Act 2000 (RIPA). | to carry out covert surveillance of individual members of the public as part of their exercise of their statutory functions. | |
| 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 |