

GOVERNANCE AND AUDIT COMMITTEE ACTION SHEET

DATE OF MEETING	SUBJECT/AGENDA ITEM	ACTION	RESPONSIBLE OFFICER	STATUS
12.09.2023	4. Governance and Audit Committee Forward Work Programme	Forward Work Programme to include reports on self-assessment, building safety and outdated HR policies, together with an Action Sheet with actions agreed at each meeting going forward.	SH	Draft 2022/23 Annual Self-Assessment report presented to G and A Committee 15.02.2024 Completed Building safety report to be presented to Health and Safety Group. Head of People Services has confirmed that all HR policies are scheduled for review in consultation with the Trade Unions.
07.11.2023	6. Annual Report on the Corporate Complaints received for the period 1 st April 2022 to 31 st March 2023.	Complaints training for Members, provided by the Ombudsman's Office, to be arranged.	LL	Ongoing – link in with the Ombudsman's office to agree a date for training.
07.11.2023	7. Internal Audit Service – Update on Progress 2023/24.	To devise an alternative format for the report data and refer back to Members in due course.	SH/DG	In development
15.02.2024	4. Governance and Audit Committee Forward Work Programme.	To include an update on the action sheet, with regards to a conclusion date for the HR policy updates.	LD	HR policies and procedures are subject to ongoing review and should be completed by 31.12.24
15.02.2024	6. Draft Annual Self-Assessment Report 2022/23.	To answer questions submitted by an absent Member, and to circulate the response to the Governance and Audit Committee Members following the meeting.	SH/DG	Pending – Recommend removal as 2023-24 Self-Assessment Report has since been presented to

				the Governance and Audit Committee.
16.04.2024	5. Corporate Risk Register 2023-2024 Year End Update.	To include an additional column on the Risk Register, which sets out the targets for risk and progress being made against that particular risk level.	RR	Completed.
16.04.2024	5. Corporate Risk Register 2023-2024 Year End Update.	To include more information in the actions and progress column, particularly in relation to the scale of the resources that the Council is using to implement those actions.	Ed	CMT to consider as part of CMT review of Risk Register prior to next update.
16.04.2024	5. Corporate Risk Register 2023-2024 Year End Update.	To request the attendance of the Head of People Services at the next meeting of Governance and Audit Committee on 4 th June 2024, to answer Members specific queries on retention strategies.	SH / RR	Report on agenda for Governance and Audit Committee meeting on 21 st January 2025.
16.04.2024	5. Corporate Risk Register 2023-2024 Year End Update.	Risks associated with the ongoing Mobilising Team Caerphilly transformation programme to be included in the Corporate Risk Register, where this was deemed appropriate.	RR	Will be considered for the next Risk Register update.
16.04.2024	5. Corporate Risk Register 2023-2024 Year End Update.	Cost-of-living crisis Progress Report produced by Caerphilly Cares Team, to be circulated to Members for their information.	RR	Report circulated to Members. A further updated Annual Report being prepared. Pending
01.05.2024	3. Financial Statements for 2022/23.	In relation to question 4, submitted by a Lay Member, adjustments to be considered and the inclusion of hyperlinks to the relevant information, going forward.	SH	Pending
04.06.2024	13. Update on Progress against the Internal Audit Services Annual Plan 2024/25.	A Member sought clarification on appendices 1 and 2 and queried whether the 'status' element could be updated and completed in both documents. Members were advised that progress was being made in this area and further dates and details would be added for more clarity going forward.	DG	Pending and will be addressed in the reports due to be presented to the committee in December 2024.
04.06.2024	15. Regulator Recommendation Tracker Progress Update.	A Member referred to the table at 5.1 in the report and noted that the column total was incorrect, together with clarification required under 'decarbonisation'. Members were advised that this would be checked and notified to Members where applicable.	RR	The number of Decarbonisation recommendations outstanding are correct (2) but the column 'how many total original recommendations are

				outstanding' should be 14 and not the 15 as noted in 5.1. This will be updated for the next report.
08.10.2024	4. Governance and Audit Committee Forward Work Programme.	Members requested notification of any changes to the FWP prior to the meetings.	SH	The purpose of presenting the FWP to the Committee is to agree any changes. Moving forward if there are any changes to the agenda for the next scheduled meeting these will be discussed with the Chair.
08.10.2024	5. Audit Wales Programme and Timetable – Caerphilly County Borough Council.	Financial Accounts to be included in the January 2025 meeting of Governance and Audit Committee if possible.	Audit Wales/SH	The audit of the 2023/24 Draft Accounts is ongoing. Once the audit is completed a Special meeting of the Governance and Audit Committee will be scheduled.
08.10.2024	6. Draft Annual Self-Assessment Report (Including Well-Being Objectives) 2023/2024.	Consideration to be given to the language style used in future reports and the inclusion of counter-fraud in future reports.	KP	<p>Consideration will be given to the language style in the 2024/25 Self-Assessment Report.</p> <p>Reference to the Audit Wales Counter-Fraud Report will be included in the final version of the 2023/24 Annual Governance Statement (AGS). The Governance and Audit Committee will also receive regular updates on progress against the recommendations in the report.</p>

08.10.2024	6. Draft Annual Self-Assessment Report (Including Well-Being Objectives) 2023/2024.	Members requested a training session to help them understand and provide assurance on how the Performance Management Framework/self-assessment process feeds into the Annual Self-Assessment Report.	KP	A session is being planned for Spring 2025 for member training and development
08.10.2024	7. Corporate Risk Register 2023-2024 6-month update.	Members requested that Counter-Fraud could be included on the risk register and consideration to be given to a 'workshop' on risks which was also requested by Members.	SH/ KP/ DG	This is currently under discussion with a view to how fraud risk is to be included in the Corporate Risk assessment process. Workshop date to be agreed. Workshop date now confirmed as 18/2/25.
08.10.2024	7. Corporate Risk Register 2023-2024 6-month update.	Members requested that consideration to be given for the 'target date' column to include the relevant data.	KP	This will be considered, and an update will be provided the next time the Risk Register is brought to the Committee.
08.10.2024	10. Audit Wales Review of Counter-Fraud Arrangements – Caerphilly County Borough Council.	Members noted that 'urgent action' was requested in relation to the recommendations made by Audit Wales. Members were assured that this was being addressed and a further report was due before Members at the Special Governance and Audit Committee meeting in December.	SH	Report to be presented to the December G and A meeting addressing this issue. Updated Anti-Fraud Action Plan presented to Committee on 3 rd December 2024. Completed.
08.10.2024	11. Fraud Response Plan.	Members requested that timescales and lessons learnt to be included in future reports, together with an acknowledgement of the Lay Members.	DG	Document has been updated to include reference to Lay members and the other matters raised. Completed.
08.10.2024	11. Fraud Response Plan.	Online training due to be launched regarding confidentiality control.	DG	Document has been updated to include

				confidentiality and Social Media use.
08.10.2024	12. Fraud Risk Assessment.	Members development sessions to be considered for 'risk' and the specific control measures for 'fraud risk'.	DG	A session is being planned for early in 2025 for member training and development and this will be included.
03.12.2024	3. Audit Wales Programme and Timetable – CCBC.	A Member noted their concerns regarding the provision for children with additional learning needs (ALN). Members were advised that this matter would be raised with the Chief Education Officer and information would be referred back to Members.	SH	Pending.
03.12.2024	3. Audit Wales Programme and Timetable – CCBC.	The Chair referred to a biennial report regarding the National Fraud Initiative (NFI) and queried whether this was a review of the status across Wales, and whether a more detailed report would be beneficial to the Governance and Audit Committee. Members were advised that a full update could be provided on NFI, and the Audit Wales report could be brought to the Governance and Audit Committee meeting in January 2025.	Audit Wales/SH	Report to be added to Forward Work Programme for G and A Committee meeting in April.
03.12.2024	5. Updated Anti-Fraud Action Plan.	Discussion followed regarding further training for Members which could also include Lay Members in the future. Members were advised that enquires would be made and information referred back to Members.	DG	Pending. Workshop has been arranged for 18/2/25.
03.12.2024	5. Updated Anti-Fraud Action Plan.	Members were advised that an amended Forward Work Programme was due to be circulated to Members by the end of the week.	SH	Updated Forward Work Programme on agenda for G and A Committee meeting on 21 st January 2025.
03.12.2024	6. Peer Review of Internal Audit Services compliance with the Public Sector Internal Audit Standards (PSIAS).	Members were also advised of a Members training session planned for February 2025.	DG	Workshop has been arranged for 18/2/25. Sessions planned on Risk, Fraud Risk, New Internal Audit Standards and Understanding Financial Statements.

03.12.2024	6. Peer Review of Internal Audit Services compliance with the Public Sector Internal Audit Standards (PSIAS).	Discussion followed in relation to cloud hosting and security issues and the practical element of protecting personal data. Members were advised that there was a cloud migration protocol, and it was proposed that an IT report could be produced for future reference to the Governance and Audit Committee.	SH	Pending.
03.12.2024	7. Update on Progress against the Internal Audit Services Annual Plan 2024/25.	It was also proposed that more information could be included in future reports regarding audits that didn't occur, together with reasons and new rescheduled dates. The Member referred to audit opinions included in appendix 2, noting 'inadequate and needs to improve' and requested further information on these going forward.	DG	Report for January meeting contains updates on changes to plan and brief reasons.
03.12.2024	8. Update on Internal Audit Report Recommendations.	Members were advised that it was proposed to have quarterly meetings with Directorate Management teams going forward, to ensure that audit recommendations are addressed within the agreed timescales.	DG	Pending