

Penallta House,
Tredomen Park,
Ystrad Mynach,
Hengoed CF82 7PG

Ty Penallta,
Parc Tredomen,
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For all enquiries relating to this agenda please contact Charlotte Evans
(Tel: 01443 864210 Email: EVANSCA1@caerphilly.gov.uk)

Date: 7th December 2016

Dear Sir/Madam,

A meeting of the **Audit Committee** will be held **Sirhowy Room, Penallta House, Tredomen, Ystrad Mynach** on **Wednesday, 14th December, 2016** at **10.00 am** to consider the matters contained in the following agenda.

Yours faithfully,

A handwritten signature in blue ink that reads 'Chris Burns'.

Chris Burns
INTERIM CHIEF EXECUTIVE

A G E N D A

Pages

- 1 To receive apologies for absence.
- 2 Declarations of Interest.

Councillors and Officers are reminded of their personal responsibility to declare any personal and/or prejudicial interest(s) in respect of any item of business on this agenda in accordance with the Local Government Act 2000, the Council's Constitution and the Code of Conduct for both Councillors and Officers.

To approve and sign the following minutes: -

- 3 Audit Committee held on 14th September 2016.

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To receive and consider the following reports: -

4	WAO Review of Arrangements to Address External Audit, Inspection and Regulation Recommendations and Proposals for Improvement - Caerphilly County Borough Council	9 - 38
5	Regulator Proposals for Improvement Progress Update.	39 - 46
6	Assurance Framework.	47 - 62
7	Public Sector Internal Audit Standards - Update on Internal and External Assessment of Internal Audit Services.	63 - 70
8	Internal Audit Services - Mid Year Progress Report.	71 - 76
9	Audit Committee Forward Work Programme.	77 - 78

To receive and note the following information items:-

10	Certification of Grants and Returns 2013/14 and 2014/15 - Caerphilly County Borough Council.	79 - 102
11	Annual Audit Letter - Caerphilly County Borough Council 2015-16.	103 - 104
12	IT Security and Governance Activity Update.	105 - 112
13	Regulation of Investigatory Powers Act 2000.	113 - 114
14	Update on the Numbers of Complaints Received Under The Council's Corporate Complaints Policy.	115 - 122
15	Officers Declarations of Gifts and Hospitality July to September 2016.	123 - 126
16	Corporate Governance Panel Minutes - 15th April 2016.	127 - 128
17	Corporate Governance Panel Minutes - 19th September 2016.	129 - 130

**If a member of the Audit Committee wishes for any of the above information reports to be brought forward for discussion at the meeting please contact Charlotte Evans, 01443 864210, by 10.00 a.m. on Tuesday 13th December 2016*

Circulation:

Councillors L. Ackerman, Mrs E.M. Aldworth, Mrs K.R. Baker, J. Bevan, D.G. Carter, Ms J. Gale, C. Hawker, Ms J.G. Jones, Mrs G.D. Oliver, J.A. Pritchard, D. Rees (Chair) and J. Simmonds

Lay Member – Mr N.D. Yates (Vice Chair)

Auditors - Ms S.J. Byrne (Wales Audit Office), Ms N. Jenkins (Wales Audit Office), Llinos Brown (Grant Thornton UK LLP) and Barrie Morris (Grant Thornton UK LLP)

And Appropriate Officers.