

Audit Committee Forward Work Programme – July 2018 – April 2019

MEETING DATE: TUESDAY, 16TH OCTOBER 2018

Report Deadline (Reports to Committee Services – 12noon)	Subject	Purpose	Key Issues	Responsibility
ITEMS FOR DISCUSSION				
26.09.18	Wales Audit Office Report – Overview and Scrutiny Fit for the Future? – Caerphilly County Borough Council	Advise of the outcome of the review undertaken by the Wales Audit Office - Overview and Scrutiny Fit for the Future?	The WAO make a number of proposals for improvements Presented to the Scrutiny Leadership Group on 11 th October 2018 The Scrutiny Leadership Group was asked to consider findings and recommend actions in response to the report. A verbal update on these considerations will be given to the Audit Committee	R. Edmunds
	WHQS - Acceptable Fails Update	To provide members with information on the application and volume of acceptable fails and to explain the process of managing issues with access which impact on the delivery of WHQS.	Categorisation and application of acceptable fails. Volume of acceptable fails. Application of previously achieved classification. Process for dealing with no access properties.	S. Couzens

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

Journal Transfer Authorisation Limits	To present the Audit Committee with the option to implement authorisation levels within the software module used by the Authority to process journals entries in its Ledger.	In their 2016-17 ISA260 report Grant Thornton raised an issue around the authorisation of Journals across the authority. Although journal authorisation is possible within the current ledger product it is currently only implemented in one service area. The Authority agreed as part of its response to the recommendation in the auditor's report that it would review its journal authorisation procedures.	N. Scammel
Customer Services Update	Verbal Update		L. Lucas
Corporate Risk Register Monitoring (Q2 – 2018/19)	To provide members with information on the management of risk and the process to develop risks	Quarter 2 update	R. Roberts
Internal Audit Services – Annual Outturn Report 2017/18	To inform members of the activity of the Internal audit section for the year ended 31.03.18	Performance of the section, audits undertaken, opinions generated and overall opinion on internal control.	D. Gronow
Internal Audit Services – Revised Methodology for Tier 4 Audit Opinion, Risk Ratings and Assurance – Draft Report	To inform members of the methodology to be applied when reporting audit opinions in individual assignments	To assist in the understanding of what factors affect the opinions generated in reports, particularly those that are in need of improvement and to ensure a consistent approach.	D. Gronow

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

	Audit Committee Forward Work Programme 2018/19	To ensure that the committee agendas reflect its responsibilities in the reviewing and consideration of the Authorities financial affairs and financial statements, including the oversight of the internal and external audit arrangements of the Council and the reviewing and assessment of risk management, internal control and corporate governance arrangements.	It includes all reports that were identified at the Audit Committee on 24 th July 2018 Outlines the reports planned for Audit Committee until April 2019	R. Edmunds
INFORMATION ITEMS				
	Caerphilly County Borough Council – Annual Audit Letter 2017-18	The Annual Audit letter from the Auditor General for Wales summarising key messages arising from statutory responsibilities under the Public Audit (Wales) Act 2004 and their reporting responsibilities under the Code of Audit Practice.		S. Harris
	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)	To provide an update on the number of operations undertaken in accordance with RIPA for the period 1 st July to 30 th September, 2018.	R. Tranter
	Officers Declarations of Gifts and Hospitality – April to June 2018			L. Donovan

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

MEETING DATE: TUESDAY, 29TH JANUARY 2019				
Report Deadline (Reports to Committee Services – 12noon)	Subject	Purpose	Key Issues	Responsibility
ITEMS FOR DISCUSSION				
09.01.19	AP Forensic Software			N. Scammell
	Review and Update of the Audit Charter	To present the Audit Committee with proposed changes to the Audit Charter	The current Audit Charter was approved by the Audit Committee on the 10th September 2014. The purpose of this report is to present an updated Charter to the Audit Committee for consideration	R. Harris
	Regulator Proposals for Improvement Progress Update			R. Roberts
	Progress Report on the Public Sector Internal Audit Standard (PSIAS) Action Plan	To update the Audit Committee on progress against the PSIAS Action Plan	At its meeting on the 10th April 2018, the Audit Committee was presented with the Action Plan arising from the internal self-assessment and external peer review of compliance with the PSIAS. This report will provide an update on progress against the Action Plan.	

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

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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)	To provide an update on the number of operations undertaken in accordance with RIPA for the period TBC to 30 th TBC, 2018/19.	R. Tranter
	Officers Declarations of Gifts and Hospitality	To provide the Audit Committee with the information regarding the Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) regarding Gifts and Hospitality for the period 1 April to 30 June 2018 i.e the first quarter of the financial year 2018/10 and a comparison with the previous three quarters.		L. Donovan

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

	Corporate Governance Panel Minutes – Date to be confirmed			R. Harris
MEETING DATE: TUESDAY, 23RD APRIL 2019				
Report Deadline (Reports to Committee Services – 12noon)	Subject	Purpose	Key Issues	Responsibility
ITEMS FOR DISCUSSION				
03.04.19	Audit Committee Forward Work Programme	To ensure that the committee agendas reflect its responsibilities in the reviewing and consideration of the Authorities financial affairs and financial statements, including the oversight of the internal and external audit arrangements of the Council and the reviewing and assessment of risk management, internal control and corporate governance arrangements.	It includes all reports that were identified at the Audit Committee on 29th January 2019 Outlines the reports planned for Audit Committee until TBC 2019	R. Edmunds

APPENDIX 1

Audit Committee Forward Work Programme 2018/19

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)	To provide an update on the number of operations undertaken in accordance with RIPA for the period TBC to TBC, 2019.	R. Tranter
	Officers Declarations of Gifts and Hospitality – April to June 2018			L. Donovan