

AUDIT COMMITTEE FORWARD WORK PROGRAMME – 2019 (As at 11.04.19)

AUDIT COMMITTEE – 23RD APRIL 2019 (Deadline for reports: 12 noon 8TH APRIL 2019)			
TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
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 December 2019	R. Edmunds
Annual Internal Audit Plan 2018/19	To inform Members of the Audit Committee of the Internal Audit Managers overall opinion on the Authority's Internal Control Systems derived from the work undertaken by Internal Audit Services during the financial year.		R. Harris
2019 Audit Plan – Caerphilly County Borough Council	The purpose of the plan is to set out the external Auditors proposed work, when it will be undertaken, how much it will cost and who will undertake it.		Grant Thornton
Internal Audit Services: 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

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Internal Audit Services: Annual Audit Plan 2019/20	The report seeks Audit Committee approval for the Internal Audit Services Annual Audit Plan for the financial year 2019/20.		R. Harris
Internal Audit Reports - "In Need of Improvement".	To update Members with the audit assignments undertaken in order to better inform the Committee of the work being undertaken, risks identified agreed actions and any associated impact on the Authority's Annual Governance Statement Process.		S. Harris/R. Harris
INFORMATION ITEMS			
WAO – WHQS Service Users Perspective and Follow Up Report	To update Members following presentation of the reports at Cabinet, CHTG and Policy and Resources Scrutiny Committee.		WAO
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 1st January to 31st March 2019.	R. Tranter/L. Lane
Officers Declarations of Gifts and Hospitality – October to December 2018	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 Oct to Dec 2018 and a comparison with the previous		L. Donovan

AUDIT COMMITTEE FORWARD WORK PROGRAMME – 2019 (As at 11.04.19)

	three quarters.		
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AUDIT COMMITTEE – 11TH JUNE 2019 (Deadline for reports: 12 noon 28TH MAY 2019)			
TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
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 23rd April 2019. Outlines the reports planned for Audit Committee until December 2019.	R. Edmunds
Regulator Proposals for Improvement Progress Update			R. Roberts/S. Harris
Corporate Risk Register (Q4 – 2018/19)			R. Roberts/S. Harris
Draft Annual Governance Statement 2018/19			R. Edmunds
Progress Report on the Public Sector Internal Audit Standard (PSIAS) Action Plan	To update the Audit Committee on progress against the PSIAS Action Plan		N. Scammell
Corporate Governance Local Code and Terms of Reference for the Review Panel	To Prepare the Terms of Reference for the Review Panel		N. Scammell
INFORMATION ITEMS			
Annual Review of Complaints Received Under the Council's Corporate Complaints Policy – April 2018 – 31st March 2019			L. Lane

AUDIT COMMITTEE FORWARD WORK PROGRAMME – 2019 (As at 11.04.19)

Corporate Governance Panel Minutes – TBC			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 TBC to TBC, 2019.	L. Lane
Officers Declarations of Gifts and Hospitality – January to March 2019	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 TBC 2019 i.e the first quarter of the financial year 2018/19 and a comparison with the previous three quarters.		L. Donovan
AP Forensics Software			N. Scammell

**SPECIAL AUDIT COMMITTEE – 23RD JULY 2019
(Deadline for reports: 12 noon 8TH JULY 2019)**

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
Local Government Financial Statements and the Role of the External Auditor			Grant Thornton
Audit Committee Assurance Over Management Processes and Arrangements			N. Scammell
Financial Statements for 2018/19			N. Scammell
INFORMATION ITEMS			
None			

AUDIT COMMITTEE FORWARD WORK PROGRAMME – 2019 (As at 11.04.19)

AUDIT COMMITTEE – 15TH OCTOBER 2019 (Deadline for reports: 12 noon 30TH SEPTEMBER 2019)			
TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
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 11th June 2019 Outlines the reports planned to Audit Committee until December 2019	R. Edmunds
Corporate Risk Register Monitoring (Q2 – 2019/20)			R. Roberts/S. Harris
Internal Audit Services – Annual Outturn Report 2018/19			R. Harris
Internal Audit Services Mid-Year Progress Report			R. Harris
INFORMATION ITEMS			
Caerphilly County Borough Council – Annual Audit Letter 2018/19			N. Scammell
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)		L. Lane
Officers Declarations of Gifts and Hospitality – April to June 2019	To provide the Audit Committee with the information regarding the		L. Donovan

AUDIT COMMITTEE FORWARD WORK PROGRAMME – 2019 (As at 11.04.19)

	Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) regarding Gifts and Hospitality for the period TBC 2019 i.e the first quarter of the financial year 2018/10 and a comparison with the previous three quarters.		
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**SPECIAL AUDIT COMMITTEE – 17TH DECEMBER 2019
(Deadline for reports: 12 noon 2ND DECEMBER 2019)**

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER

Dates to be confirmed

TITLE	PURPOSE	KEY ISSUES	PRESENTING OFFICER
Corporate Complaints 6 monthly update			L. Lane/R. Tranter