

## GOVERNANCE AND AUDIT COMMITTEE FORWARD WORK PROGRAMME

### GOVERNANCE AND AUDIT COMMITTEE – 12<sup>th</sup> SEPTEMBER 2023

| <b>TITLE</b>  | <b>PURPOSE</b>  | <b>KEY ISSUES</b>  | <b>PRESENTING OFFICER</b> |
|---|---|--|---------------------------|
| 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 2023 Audit Plan                                   | To provide the Governance and Audit Committee with details of the work planned by Audit Wales.  | To ensure the Governance and Audit Committee is informed of planned work.  | Audit Wales               |
| Internal Audit Charter update                                 | This report will aim to make Members of the Governance and Audit Committee aware of the Council's Internal Audit Charter in order to enable them to make an informed decision to approve the Charter in line with the expectations of the Public Sector Internal Audit Standards (PSIAS). | The report will provide details of the updated Internal Audit Charter for the Council's Internal Audit Team.           | D. Gronow                 |
| Update and progress report on Internal Audit Recommendations. | To provide members of the Governance and Audit Committee with an update on the recommendations issued   | The report provides updates on new recommendations issued since the previous report was presented to the Committee and | D. Gronow                 |

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|  | to Service Managers arising from Internal Audit work and the progress on completing agreed actions, in the period since the previous report.   | progress on the implementation of agreed recommendations by Service Managers.   |            |
| <b>INFORMATION ITEMS</b>                       |  |   |            |
| 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)   | 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 public as part of their exercise of their statutory functions. | L. Lane    |
| 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 |
| Corporate Governance Panel Minutes             | To provide the Governance and Audit Committee with information in relation to the matters under review by the Panel, outcomes, and actions.  | To ensure members of the Governance and Audit Committee have an oversight of the activities of the Panel.   | D. Gronow  |

**GOVERNANCE AND AUDIT COMMITTEE – 7<sup>th</sup> NOVEMBER 2023**

| <b>TITLE</b>                            | <b>PURPOSE</b>  | <b>KEY ISSUES</b>   | <b>PRESENTING OFFICER</b> |
|---|---|---|---------------------------|
| 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 review of Complaints 2022/23     | 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 year ended 31/3/2023 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 year. | L. Lane                   |
| Internal Audit update on progress.      | To provide Members of the Governance and Audit Committee with information on progress being made against the Audit Plan and other unplanned work between the period 1st April 2023 and 30th September 2023, and to inform the Committee of the opinions derived from the work undertaken. | To provide the Committee with oversight of the status of work undertaken and progress against the Audit Plan.                                     | D. Gronow                 |

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| 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 arrangements are in place for the Council's risk management processes to be regularly and robustly monitored and scrutinised. | R. Roberts              |
| Draft Annual Self – Assessment report 2022/23 | To present the Governance and Audit Committee with the Draft Annual Self-assessment Report for 2022/23 prior to its onward submission to Joint Scrutiny and Council.                     | To provide the Governance and Audit Committee with assurance that the Council's self-assessment process is robust and effective.   | R. Edmunds / R. Roberts |
| <b>INFORMATION ITEMS</b>                      |  |  |                         |
| 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) | 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 public as part of their exercise of their statutory functions.  | L. Lane                 |

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| 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 |
| Corporate Governance Panel Minutes             | To provide the Governance and Audit Committee with information in relation to the matters under review by the Panel, outcomes, and actions.  | To ensure members of the Governance and Audit Committee have an oversight of the activities of the Panel.                                 | D. Gronow  |

**GOVERNANCE AND AUDIT COMMITTEE – 15<sup>th</sup> February 2024**

| <b>TITLE</b>                            | <b>PURPOSE</b>  | <b>KEY ISSUES</b>  | <b>PRESENTING OFFICER</b> |
|---|---|--|---------------------------|
| 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               |
| Financial Statements for 2022/23        | To present the Governance and Audit Committee with the Audit Wales 'Audit of Accounts Report' for the 2022/23 | To ensure that the 2022/23 Financial Accounts are endorsed prior to approval by Council and submission to the Auditor General for Wales. | Audit Wales / S. Harris   |

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|   | financial year, along with the audited Financial Statements.   |  |                       |
| Public Sector Internal Audit Standards (PSIAS) Self-Evaluation update | To inform members of the Governance and Audit Committee of the results of the self-evaluation of compliance with PSIAS.  | To ensure the Governance and Audit Committee is aware of the results of this process.  | D. Gronow             |
| Update and progress report on Internal Audit Recommendations.         | To provide members of the Governance and Audit Committee with an update on the recommendations issued to Service Managers arising from Internal Audit work and the progress on completing agreed actions, in the period since the previous report. | The report provides updates on new recommendations issued since the previous report was presented to the Committee and progress on the implementation of agreed recommendations by Service Managers. | D. Gronow             |
| Review and Refresh of Financial Regulations                           | To provide the Committee with the draft revised Financial Regulations for review and endorsement.  | To ensure the Governance and Audit Committee has the opportunity to review and endorse the updated Financial Regulations prior to Council consideration.   | S. Harris / 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.   | R. Roberts            |

| <b>INFORMATION ITEMS</b>                       |  |   |            |
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| 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)   | 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 public as part of their exercise of their statutory functions. | L. Lane    |
| 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 |
| Corporate Governance Panel Minutes             | To provide the Governance and Audit Committee with information in relation to the matters under review by the Panel, outcomes, and actions.  | To ensure members of the Governance and Audit Committee have an oversight of the activities of the Panel.   | D. Gronow  |

**GOVERNANCE AND AUDIT COMMITTEE –16<sup>th</sup> April 2024**

| <b>TITLE</b>   | <b>PURPOSE</b>   | <b>KEY ISSUES</b>   | <b>PRESENTING OFFICER</b> |
|--|--|---|---------------------------|
| 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 outline 2024 Audit Plan   | To provide the Governance and Audit Committee with the outline detail of the planned work, any performance work, and estimated fees.                     | To ensure that the Committee is informed of the work planned by Audit Wales.  | Audit Wales               |
| Audit Wales Caerphilly CBC Annual Audit Summary 2023 | To provide the Governance and Audit Committee with information in relation to the work completed by Audit Wales since the previous Annual Audit Summary. | This report forms part of the Auditor General for Wales duties and aims to ensure that the Governance and Audit Committee is updated appropriately.         | Audit Wales               |
| Audit Wales Audit of Accounts Addendum report        | To present the Governance and Audit Committee with the Audit Wales 'Audit of Accounts Addendum Report' for the 2022/23 financial year.                   | To ensure that the Committee is informed of the Audit Wales recommendations arising from the audit of the accounts and the associated management responses. | Audit Wales / S. Harris   |
| 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   | R. Roberts                |



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|  |  | opportunity for the Committee to satisfy itself that appropriate 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 to 30th September 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   |
| Internal Audit Annual Plan 2024/25                 | To seek Governance and Audit Committee approval of the Internal Audit Services Annual Audit Plan for the 2024/25 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 |
| <b>INFORMATION ITEMS</b>                           |  |   |           |
| 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)   | 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 public as part of                                  | L. Lane   |

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|  |  | 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 |
| Corporate Governance Panel Minutes             | To provide the Governance and Audit Committee with information in relation to the matters under review by the Panel, outcomes, and actions.  | To ensure members of the Governance and Audit Committee have an oversight of the activities of the Panel.                                 | D. Gronow  |

**GOVERNANCE AND AUDIT COMMITTEE –18<sup>th</sup> June 2024**

| <b>TITLE</b>  | <b>PURPOSE</b>   | <b>KEY ISSUES</b>  | <b>PRESENTING OFFICER</b> |
|---|--|--|---------------------------|
| 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               |
| Update and progress report on Internal Audit Recommendations. | To provide members of the Governance and Audit   | The report provides updates on new recommendations issued                      | D. Gronow                 |

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|   | Committee with an update on the recommendations issued to Service Managers arising from Internal Audit work and the progress on completing agreed actions, in the period since the previous report.                                     | since the previous report was presented to the Committee and progress on the implementation of agreed recommendations by Service Managers.                         |            |
| 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.   | R. Roberts |
| Internal Audit Annual Report 2023/24                      | 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 2023/24 financial year. | To ensure the Governance and Audit Committee has oversight of this matter.   | D. Gronow  |
| Draft Annual Governance Statement 2023/24                 | To present Members of the Governance and Audit Committee with the Draft Annual Governance Statement for the 2023/24 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  |

| <b>INFORMATION ITEMS</b>                       |   |   |            |
|--|---|---|------------|
| 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)  | 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 public as part of their exercise of their statutory functions. | L. Lane    |
| 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 |
| Register of Employee's interest forms 2023/24  | To provide the Governance and Audit Committee with information regarding the Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) for the 12 month period 1 April 2023 to 31 March 2024 and provide a comparison with the same information for the previous 2 financial years. | To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Register of Employees' Interests Forms.  | L. Donovan |

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| Corporate Governance Panel Minutes | To provide the Governance and Audit Committee with information in relation to the matters under review by the Panel, outcomes, and actions. | To ensure members of the Governance and Audit Committee have an oversight of the activities of the Panel. | D. Gronow |
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