

**GOVERNANCE AND AUDIT COMMITTEE FORWARD WORK PROGRAMME**

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

<b>TITLE</b>	<b>PURPOSE</b>	<b>KEY ISSUES</b>	<b>PRESENTING OFFICER</b>
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
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 2023 to the 30th September 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 six-month period.	L. Lane
Internal Audit Services Annual Audit Plan 2024/25	To seek Governance and Audit Committee approval of the Internal Audit Services	The Governance and Audit Committee is responsible for ensuring that risk and internal	D. Gronow

	Annual Audit Plan for the 2024/25 financial year.	controls are adequately managed and monitored, and that the work planned by Internal Audit will achieve the required levels of assurance.	
<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

**SPECIAL GOVERNANCE AND AUDIT COMMITTEE – 1<sup>st</sup> MAY 2024**

<b>TITLE</b>	<b>PURPOSE</b>	<b>KEY ISSUES</b>	<b>PRESENTING OFFICER</b>
Financial Statements for 2022/23	To present the Governance and Audit Committee with the Audit Wales 'Audit of Accounts Report' for the 2022/23 financial year, along with the audited Financial Statements.	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

**GOVERNANCE AND AUDIT COMMITTEE – 4<sup>th</sup> JUNE 2024 (Date Subject to Confirmation)**

<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 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 – Caerphilly County Borough Council – Audit Plan 2024/25	To provide the Governance and Audit Committee with details of the Audit Wales Audit Plan for Caerphilly County Borough Council.	The report will provide details of the Audit Wales work programme for Caerphilly County Borough Council for the 2024/25 financial year.	Audit Wales
Annual Internal Audit 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.	The Governance and Audit Committee will be asked to note the content of the report and the Internal Audit Manager's annual opinion for the 2023/24 financial year in order for the Committee to gain the required assurance to fulfil its role.	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
Update on Progress Against the Internal Audit Services Annual Audit Plan 2024/25	To provide the Governance and Audit Committee with an update on progress against the Internal Audit Services Annual Audit Plan.	To provide assurances that satisfactory progress is being made and to provide details of any in-year changes to the Plan as appropriate.	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
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>			
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

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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**GOVERNANCE AND AUDIT COMMITTEE – 8<sup>th</sup> OCTOBER 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 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
Review and Refresh of Financial Regulations and Standing Orders for Contracts	To provide the Committee with the draft revised Financial Regulations and Standing Orders for Contracts for review and endorsement.	To ensure the Governance and Audit Committee has the opportunity to review and endorse the updated Financial Regulations and Standing Orders for Contracts prior to Council consideration.	S. Harris / D. Gronow / I. Evans

Draft Annual Self-Assessment Report 2023/24	To present the Governance and Audit Committee with the Council's Draft Annual Self-Assessment Report for 2023/24.	The Governance and Audit Committee will be asked to consider and endorse the Draft Annual Self-Assessment Report prior to its presentation to the Council's Joint Scrutiny Committee and Cabinet.	R. Roberts
Peer Review of Internal Audit Services Compliance with the Public Sector Internal Audit Standards (PSIAS).	To provide the Governance & Audit Committee with details of the outcome of the external peer review of Internal Audit Services compliance with the Standards.	To provide details of any actions required to address areas of non-compliance.	D. Gronow
Update on Progress Against the Internal Audit Services Annual Audit Plan 2024/25	To provide the Governance and Audit Committee with an update on progress against the Internal Audit Services Annual Audit Plan.	To provide assurances that satisfactory progress is being made and to provide details of any in-year changes to the Plan as appropriate.	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
<b>INFORMATION ITEMS</b>			
Regulation of Investigatory Powers Act 2000	To advise Members of the numbers of covert surveillance operations undertaken by the	The Regulation of Investigatory Powers Act 2000 (RIPA) sets out strict controls for public	L. Lane

	Council in accordance with the provisions of the Regulation of Investigatory Powers Act 2000 (RIPA)	authorities wishing to carry out covert surveillance of individual members of the public as part of 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