

**GOVERNANCE AND AUDIT COMMITTEE FORWARD WORK PROGRAMME**

<b>SPECIAL GOVERNANCE AND AUDIT COMMITTEE – 7<sup>TH</sup> MAY 2025</b>			
<b>TITLE</b>	<b>PURPOSE</b>	<b>KEY ISSUES</b>	<b>PRESENTING OFFICER</b>
EXEMPT ITEM Audit Wales – Cyber Security Review.	The purpose of the report is to present to the committee, the Audit Wales report called the “Cyber Security Review – Caerphilly County Borough Council’ which was issued in February 2025. Audit Wales will present their report.	To provide details for the recommendations from Audit Wales, Audit Wales will be at the meeting to identify their findings.	L. Lucas
Financial Statements for 2023/24.	To present the Governance and Audit Committee with the Audit Wales ‘Audit of Accounts Report’ for the 2023/24 financial year.	The Audit Wales ‘Audit of Accounts Report’ for the 2023/24 financial year.	S Harris / Audit Wales
Ombudsman’s Own Initiative Investigation – Carers Assessments.	To present the Governance and Audit Committee with outline of recommendations made by PSOW	To present the Governance and Audit Committee to present update on action plan for implementation of recommendations.	J. Williams
Review and Update of Internal Audit Charter.	To present the Governance and Audit Committee with	To ensure that the Internal Audit Section is in	D. Gronow

	the updated Internal Audit Charter.	conformance with the new Global internal Audit Standards.	
<b>GOVERNANCE AND AUDIT COMMITTEE – 17<sup>th</sup> JUNE 2025</b>			
<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 2024	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 – 2025 Audit Plan	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 2025/26 financial year.	Audit Wales
Annual Internal Audit Report 2024/25	To inform the Governance and Audit Committee of the Internal Audit Manager's overall opinion on the	The Governance and Audit Committee will be asked to note the content of the report and the Internal Audit	D. Gronow

	Authority's Internal Control Systems derived from the work undertaken by Internal Audit Services during the 2024/25 financial year.	Manager's annual opinion for the 2024/25 financial year in order for the Committee to gain the required assurance to fulfil its role.	
Draft Annual Governance Statement 2024/25	To present the Governance and Audit Committee with the Draft Annual Governance Statement for the 2024/25 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 Plan 2025/26	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 on Internal Audit Report Recommendations	To provide members of the Governance and Audit Committee with an update on progress against Internal Audit Report recommendations.	To provide an update on the number of recommendations arising from Internal Audit reviews and their current status.	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	To ensure the Governance and Audit Committee has oversight of this matter.	S. Richards / J. Pearce

	and Audit Committee update, and to advise on any new proposals that have been added since that time.		
Counter-Fraud Update	To provide the Governance and Audit Committee with an update on progress against the Anti-Fraud Action Plan.	To provide assurance to the Governance and Audit Committee that key actions are being progressed.	D. Gronow
Review and Refresh of Financial Regulations and Standing Orders for Contracts.	To provide the Governance and Audit 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
<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> OCTOBER 2025**

<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

Draft Annual Self-Assessment Report 2023/24	To present the Governance and Audit Committee with the Council's Draft Annual SelfAssessment 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.	S. Richards / J. Pearce
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.	S. Richards / J. Pearce
Update to Governance Panel Terms of Reference	To update the Committee on the updated terms of reference of the Governance Panel.	The Governance panel is a key part of the governance process, and this ensures that the Committee is able to gain assurance that the panels terms of reference remain relevant.	D Gronow
Annual report on the effectiveness of the Governance and Audit Committee	To report on the findings of self-evaluation of the effectiveness of the Committee.	To provide assurances that the committee is operating effectively.	D Gronow Mr Mark Rees

Update on Progress Against the Internal Audit Services Annual Plan 2025/26	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 on Internal Audit Report Recommendations	To provide members of the Governance and Audit Committee with an update on progress against Internal Audit Report recommendations.	To provide an update on the number of recommendations arising from Internal Audit reviews and their current status.	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 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	To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Gifts and Hospitality.	L. Donovan

	Hospitality for the last quarter and a comparison with the previous three quarters.		
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**GOVERNANCE AND AUDIT COMMITTEE – 20<sup>TH</sup> JANUARY 2026**

<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 Report on the Corporate Complaints Received for the Period 1st April 2024 to 31st March 2025	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 twelve-month period 1st April 2024 to 31st March 2025, together with the outcomes and lessons learned.	provide the Governance and Audit Committee with an overview of the complaints dealt with under the Corporate Complaints policy for the twelve-month period 1st April 2024 to 31st March 2025, To provide the Committee with complaints data to enable the Committee to review and assess the effectiveness of complaints handling for the twelve-month period.	Carl Evans
Counter-Fraud Update	To provide the Governance and Audit Committee with	To provide assurance to the Governance and Audit	D. Gronow



	an update on progress against the Anti-Fraud Action Plan/ Fraud Risk Register	Committee that key actions are being progressed.	
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	S. Richards / J. Pearce
Update on Progress Against the Internal Audit Services Annual Plan 2025/26	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 on Internal Audit Report Recommendations	To provide members of the Governance and Audit Committee with an update on progress against Internal Audit Report recommendations.	To provide an update on the number of recommendations arising from Internal Audit reviews and their current status.	D. Gronow
<b>INFORMATION ITEMS</b>			
Regulation of Investigatory Powers Act 2000	To advise Members of the numbers of covert	The Regulation of Investigatory Powers Act 2000	L. Lane

	surveillance operations undertaken by the Council in accordance with the provisions of the Regulation of Investigatory Powers Act 2000 (RIPA).	(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.	
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

**GOVERNANCE AND AUDIT COMMITTEE –14<sup>th</sup> APRIL 2026**

<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

<p>Internal Audit Services Annual Plan 2026/27</p>	<p>To seek Governance and Audit Committee approval of the Internal Audit Services Annual Audit Plan for the 2026/27 financial year.</p>	<p>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.</p>	<p>D Gronow</p>
<p>Update on Progress Against the Internal Audit Services Annual Plan 2025/26</p>	<p>To provide the Governance and Audit Committee with an update on progress against the Internal Audit Services Annual Audit Plan.</p>	<p>To provide assurances that satisfactory progress is being made and to provide details of any in-year changes to the Plan as appropriate.</p>	<p>D. Gronow</p>
<p>Update on Internal Audit Report Recommendations</p>	<p>To provide members of the Governance and Audit Committee with an update on progress against Internal Audit Report recommendations.</p>	<p>To provide an update on the number of recommendations arising from Internal Audit reviews and their current status.</p>	<p>D. Gronow</p>
<p>Six-month Update on Corporate Complaints Received</p>	<p>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 2025 to the 30<sup>th</sup> September 2025</p>	<p>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.</p>	<p>Carl Evans</p>

	together with the outcomes and lessons learned		
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.	Kath Peters/ Jo Pearce
<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)	To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Gifts and Hospitality.	L. Donovan

	regarding Gifts and Hospitality for the last quarter and a comparison with the previous three quarters.		
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**GOVERNANCE AND AUDIT COMMITTEE –26<sup>TH</sup> MAY 2026**

<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 2025	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 – 2026 Audit Plan	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 2025/26 financial year.	Audit Wales
Annual Internal Audit Report 2025/26	To inform the Governance and Audit Committee of the	The Governance and Audit Committee will be asked to	D. Gronow

	Internal Audit Manager's overall opinion on the Authority's Internal Control Systems derived from the work undertaken by Internal Audit Services during the 2025/26 financial year.	note the content of the report and the Internal Audit Manager's annual opinion for the 2025/26 financial year in order for the Committee to gain the required assurance to fulfil its role.	
Draft Annual Governance Statement 2025/26	To present the Governance and Audit Committee with the Draft Annual Governance Statement for the 2024/25 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.	S151
Counter fraud update	To provide the Governance and Audit Committee with an update on progress against the Anti-Fraud Action Plan/ Fraud Risk Register	To provide assurance to the Governance and Audit Committee that key actions are being progressed.	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	To ensure the Governance and Audit Committee has oversight of this matter.	.S. Richards / J. Pearce

	have been added since that time.		
Update on Progress Against the Internal Audit Services Annual Plan 2026/27	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
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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)	To ensure members of the Governance and Audit Committee have an oversight of the position in relation to officers' Gifts and Hospitality.	L. Donovan

	regarding Gifts and Hospitality for the last quarter and a comparison with the previous three quarters.		