

Governance and Audit Committee Action List
13th October 2022

| Agenda Item: | Subject/ Meeting | Officer | Outcome | By | Action Status | Recommended to close Action Yes/No |
|---------------------|--|-------------------------------|---|-----------------------------------|--|--|
| 1 | Action List 14 th July 2022 | Richard Jones/ Peter Davies | Provide GAC Members with a list of key collaborations and who audits | 24 th November 2022 | OPEN | Yes |
| 2 | Forward Work Plan 14 th July 2022 | Andrew Wathan/Chair | Cross referencing reports with the Terms of Reference | March 2023 | OPEN | No |
| 3 | Internal Audit Outturn Report 14 th July 2022 | Andrew Wathan/Peter Davies | <ol style="list-style-type: none"> 1. Invite service managers to next meeting re Limited Opinions: <ul style="list-style-type: none"> • Concessionary Travel • Fleet (Health and Safety and Driver Management) 2. Provision of Fraud figures (not percentages) | 2. 24 th November 2022 | <ol style="list-style-type: none"> 1. CLOSED 2. OPEN | 2. Yes |
| 4 | Statement of Accounts 8 th September 2022 | Jonathan Davies/ Peter Davies | <ol style="list-style-type: none"> 1. Amend the final version of the Statement of Accounts to reference significant occurrences nationally and globally and to explain abbreviations. 2. 20mph speed limit scheme and funds availability for scheme reversal, the Deputy Chief Executive will discuss with Welsh Government if unspent funds are rolled forward or returned | 24 th November 2022 | <ol style="list-style-type: none"> 1. OPEN 2. OPEN | <ol style="list-style-type: none"> 1. Yes 2. Yes |

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| 5 | Audit Wales: Springing Forward Report 8 th September 2022 | 1 & 2 Chair/Officers 3 Richard Jones | <ol style="list-style-type: none"> 1. Discuss Scrutiny arrangements for the people strategy and asset strategy 2. The Chair will discuss interim key milestones and progress against them with officers and provide update at next meeting. 3. Update on a completion date of the Corporate and Community Plan. | 24 th November 2022 | OPEN | Yes |
| 6 | Whole Authority Strategic Risk Assessment | Richard Jones | <ol style="list-style-type: none"> 1. Chair's preferred format for Risk Register <ul style="list-style-type: none"> • key risks facing the organisation; • what actions are being taken; • what actions have been taken over the preceding period; • who is accountable; • actions completed and not completed (and why); and • key performance indicators. 2. Report on Authority's approach to Horizon-scanning 3. Risk 13 (Housing) – reduction to medium by 2025 optimistic – convey comment to risk owner | 24 th November 2022 | <ol style="list-style-type: none"> 1. OPEN 2. OPEN 3. OPEN | <ol style="list-style-type: none"> 1. Yes 2. Yes 3. Yes |
| 7 | Anti Bribery , Fraud and Corruption 13 th October 2022 | Sian Hayward | Management of Cyber Security - previous report to be circulated to committee members | 24 th November 2022 | OPEN | Yes |
| 8 | Anti Bribery , Fraud and Corruption 13 th October 2022 | Peter Davies | Vetting of key staff – contact C. Prosser outside meeting | 24 th November 2022 | Open | Yes |
| 9 | Anti Bribery , Fraud and Corruption | Andrew Wathan/ Peter Davies | All Members to be made aware of the route of referral for bribery, fraud and corruption concerns/ | 24 th November 2022 | OPEN | Yes |

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| | 13 th October 2022 | | | | | |
| 10 | Audit Wales Assurance and risk assessment review 13 th October 2022 | Peter Davies | Circulate strategy for medium term sustainably | 24 th November 2022 | OPEN | Yes |
| 11 | Audit Wales Work Programme 13 th October 2022 | Chair Peter Davies | <p>Chair to raise with officers:</p> <ul style="list-style-type: none"> • Committee's lack of sufficient visibility over MTFP process nor understanding of key financial operational assumptions underpinning it. • Committee must understand where cost savings will be made to gain assurance that they do not materially impact levels of internal control, governance or other matters that appear on our work programme. <p>Deputy Chief Executive to provide:</p> <ul style="list-style-type: none"> • Cabinet report with context and outline of the budget process plus draft version of the MTFP strategy for Council in December/January can be made available to the committee. | 24 th November 2022 | OPEN | Yes |