

Date of Committee	Title of report/ Agenda Item	Actions	Responsible Officer	Updated Timeframe for response	Comment	Status RAG
26 April 2018	<u>EXTERNAL AUDIT ANNUAL AUDIT PLAN 2017-18.</u>	An audit to be undertaken by the internal shared service, in addition to one carried out by lead authority of Cardiff city council and/or Cardiff City Deal Joint Committee, to ensure accountability was shown by BCBC as a participating authority.	Chief Internal auditor	Review Sept 2019	Awaiting for new City Deal projects to be approved as still currently only one project is live and then an Internal Audit review can begin.	Amber
28 June 2018	<u>AUDIT COMMITTEE'S TERMS OF REFERENCE.</u>	The group manager- Chief Accountant to clarify whether terms of reference can be amended as per the CIPFA Guidance in order for the Committee to scrutinise the Treasury Management Strategy.	Chief Accountant	Completed	Treasury Management Strategy presented to Committee by Chief Accountant 17 January 2019 and confirmed Councils compliance with CIPFA Code.	Green
	<u>COMMUNITY ACTION FUND 2017-18 UPDATE</u>	A full review of the Community Action Fund will be undertaken following the end of the current phase of funding as stated in paragraph 4.11 of the report.	Interim Head of Finance	Completed	Action completed and reported on 13th December 2018.	Green
	<u>INCIDENT AND NEAR MISS REPORTING PROCEDURE (EXCLUDING HEALTH AND SAFETY).</u>	<ul style="list-style-type: none"> • Further consultation to be undertaken with Directorates to finalise the Incident and Near-Miss Reporting Procedure. • A subsequent report to be presented to the committee following the consultation. 	Insurance and Risk Officer	Completed	17 January 2019, report provided members with outcome of the Corporate risk assessment and to inform Committee of changes to Incident and near miss reporting procedure.	Green

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	<p><u>PROPOSAL TO INCORPORATE THE SHARED INTERNAL AUDIT SERVICE (RIASS) INTO A LARGER SERVICE HOSTED BY THE VALE OF GLAMORGAN COUNCIL TO INCLUDE TWO ADDITIONAL COUNCILS. (RCT & Merthyr)</u></p>	<p>The Committee are to oversee the implementation arrangements during 2018/19 and that it may be necessary to hold an additional meeting of the Committee to consider the implementation arrangements to incorporate RCT and Merthyr into the RIASS.</p>	<p>Chief Internal Auditor</p>	<p>Completed</p>	<p>Additional Councils Merthyr Tydfil and RCT are now collaborating within the RIASS.</p>	<p>Green</p>
	<p><u>UPDATED FORWARD WORK PROGRAMME 2018/19</u></p>	<p>Reports on Incident and near miss procedure; Healthy Organisation review – including Information Management follow up and Regional Internal Audit Shared Service to be added to the Forward Work Programme to be reported to the committee.</p>	<p>Chief Internal Auditor</p>	<p>Completed</p>	<p>Completed December 2018 by Chief Internal Auditor</p>	<p>Green</p>
<p>6 September 2018</p>	<p><u>WALES AUDIT OFFICE – OVERVIEW AND SCRUTINY – FIT FOR THE FUTURE?</u></p>	<ul style="list-style-type: none"> • Proposed to benchmark overview and scrutiny in BCBC against other neighbouring authorities. • The WAO representative added could take away proposals for improvement to see if any assistance could be provided by WAO. • Committee felt that would be appropriate for more training to be undertaken in in the area of overview and scrutiny. 	<p>Senior Democratic Services Officer</p> <p>Financial Audit Manager – WAO</p>	<p>Ongoing</p>	<p>Research has been undertaken and will continue to be undertaken by the Scrutiny Team to look at best practice elsewhere, particularly how other local authorities get the public involved in the scrutiny process. The Scrutiny Team plays an active role in the South East Wales Scrutiny</p>	<p>Amber</p>

					Officers' Network, which is made up of 10 local authorities based on the Cardiff Capital Region City Deal footprint. The Network is a very useful means of exchanging ideas and good practice. A training day was held at a recent Network which was delivered by an external trainer on good practice in Scrutiny.	
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	<u>AUDIT REPORT – HEALTHY ORGANISATION REVIEW – ACTION PLAN.</u>	<ul style="list-style-type: none"> The follow-up concerning one of the 8 core functions (Information Management) had been delayed, the outcome will be presented to members at next meeting. All incomplete actions to be completed and further information to be shared with committee. Future reports to be more expansive against the plan, to include further information against the items, risks and actions taken etc. 	Chief Internal Auditor	Completed	<p>Actions completed 15th November 2018</p> <p>*Many recommendations have already been actioned.</p>	Green

<p>15 November 2018</p>	<p><u>WALES AUDIT OFFICE REPORT ON THE SERVICE USER PERSPECTIVE OF DISABLED FACILITIES GRANT.</u></p>	<ul style="list-style-type: none"> • Case studies are to be undertaken where properties have benefited from DFGs and reported to Committee for information. • Head of Finance to provide report to Committee providing action plan relating to WAO recommendations. • Disclose to the Committee the fee paid to the agent to support service user through the building process. 	<ul style="list-style-type: none"> • Group Manager Housing • Interim Head of Finance • Group Manager Housing 	<p>November 2019</p>	<p>The Group Manager Housing will provide an update report to November’s Audit Committee which will include an update on the WAO recommendations</p> <p>Response provided after the Committee</p>	<p>Amber</p>
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	<p><u>WALES AUDIT OFFICE PERFORMANCE WORK UPDATE.</u></p>	<ul style="list-style-type: none"> • WAO to report on digital risk, the improvement plan audit 18-19, performance audit and annual improvement report and financial planning and transformation. A report on using data effectively will be presented to the committee next month. • Present report to committee on the findings of local government studies. 	<ul style="list-style-type: none"> • Financial audit manager – WAO 	<p>Completed</p>	<p>Digital Risk diagnostic report presented to Committee by Head of Finance on 13 December 2018.</p> <p>An update report was presented to Committee concerning the WAO performance work update on 18 April 19. Reports relating to specific local government studies will be fed back as appropriate.</p>	<p>Green</p>
	<p><u>AUDIT REPORT – INFORMATION MANAGEMENT FOLLOW UP.</u></p>	<ul style="list-style-type: none"> • In response to question from Committee for information on 	<ul style="list-style-type: none"> • Chief Internal Auditor 	<p>November 2019</p>	<p>The RIASS has undertaken an audit on the</p>	<p>Green</p>

		<p>the GDPR Implementation Board and Governance Board, Chief internal Auditor stated that she would provide the Committee with details of the composition, terms of reference and frequency of meetings of those boards.</p> <ul style="list-style-type: none"> Request Group Manager ICT to attend to provide a report addressing the actions in relation to information management. 	<ul style="list-style-type: none"> Group Manager ICT - 	Completed	<p>implementation of GDPR – once the report is finalised an update will be reported to Committee</p> <p>Group manager ICT reported to Committee on 13 December 2018.</p>	Green
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	<u>INTERNAL AUDIT – OUTTURN REPORT – APRIL TO SEPTEMBER 2018.</u>	A risk assessment of the Anti-fraud and Bribery Strategy has been completed. To be reported to Committee.	Interim Head of Finance	None given.	Anti- fraud and Bribery Strategy has been reviewed in line with Local Government fraud Strategy and reported to Committee 17 January 19 and to Cabinet in February.	Completed
13 December 2018	<u>WALES AUDIT OFFICE DIGITAL RISK DIAGNOSTIC REPORT.</u>	Issues of concern raised in an action plan to be presented to members as part of a follow up report.	Interim Head of Finance	At next or future meeting.	Follow up report provided by Head of Partnerships and Performance 17 January 19.	Completed
	<u>COMMUNITY ACTION FUND 2018-19 UPDATE.</u>	Cessation of the CAF for the transfer of the 285k funding back into the MTFS for consideration when setting the budget for 2019/20 to 2022/23.	Interim Head of Finance	At budget setting.	Fund not taken forward for 2019/20.	Completed

	<u>RISK MANAGEMENT</u>	New 5x5 risk matrix to be adopted and further risk report to be reported to Committee as a suite of documents. (In the form of an updated Risk Management Policy, Corporate Risk Assessment and Incident and Near Miss Reporting Procedure.)	Chief Accountant	January 2019	The Corporate Risk Management Policy has been changed to incorporate a 5x5 scoring matrix which will now be used as standard across the Council. (reported in Committee 17 January 2019)	Completed
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	<u>AUDIT REPORT – HEALTHY ORGANISATION REVIEW – ACTION PLAN UPDATE.</u>	Approach the Welsh Language Commissioner in order to ascertain best practice regarding FOI publication on BCBC website and ascertain the standard practice in neighbouring authorities.	Democratic Services Officer	Completed	The FOI Team is looking at the publication of FOI requests as part of the open data project. Some neighbouring authorities publish FOIs but not bilingually but in the language they were submitted and are meeting the Welsh Language Standards they have signed up to.	Green
	<u>UPDATED FORWARD WORK PROGRAMME 2018/19.</u>	Two further items need to be added to the FWP, namely reports on the subject of an updated Risk Policy and Incident Management Policy.	Chief Internal Auditor	Completed	Forward work programme updated and report provided 17 January 19.	Green
17 January 2019	<u>AUDIT REPORT – WALES AUDIT OFFICE – DIGITAL RISK DIAGNOSTIC RESPONSE.</u>	The SIRO should ensure that access to the Data Security Breach Incident tracker is adequately access - restricted.	Head of Partnerships and Performance	November 2019	A report is being drafted by SWAP as a follow on from the healthy organisation report, that will provide assurance that access to the Data Security Breach Incident tracker is secured	Amber
	<u>CORPORATE RISK ASSESSMENT, CORPORATE RISK MANAGEMENT POLICY AND INCIDENT AND NEAR MISS REPORTING PROCEDURE.</u>	Proposed Committee considers annual report summarising incidents and near misses recorded and action taken to prevent reoccurrence of these/ others.	Interim Head of Finance	August 2019	Update Report will be presented to Committee	Amber

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		A further report would have to be presented to Council, seeking amendment to the Committees Terms of Reference within the Constitution, to include this function.			Legal advised that the terms of reference for Audit Committee were sufficient to cover off this task	
	<u>TREASURY MANAGEMENT STRATEGY 2019-20.</u>	The final version of the Treasury Management Strategy 2019-20 to be presented to Council for approval.	Chief Accountant	Completed	Council Approval received	Green
	<u>INTERNAL AUDIT – CORPORATE FRAUD FRAMEWORK.</u>	The Anti-Fraud and Bribery Strategy and the Anti-Money Laundering Policy are to be referred to Cabinet for approval.	Chief Accountant	Completed	Chief Accountant confirmed on 18 April 19, the Anti-Fraud and Bribery Strategy and Anti-Money Laundering Policy have been approved by Cabinet.	Green
18 April 2019	<u>WALES AUDIT OFFICE PERFORMANCE WORK UPDATE.</u>	Feedback to Committee information regarding Services to Rural Communities and Using Data Effectively. Including what specifically was being reviewed and reports of good practice (especially concerning rural bus services).	WAO representative	Completed	Committee Members provided with WAO link to survey	Green

	<u>CERTIFICATION OF GRANTS AND RETURNS 2017-18.</u>	A further report to be submitted to the next Committee meeting, outlining a summary of improvements made in the Housing benefit section as part of an action plan drawn up following the audit, including details of staff training/ development plan.	Interim Head of Finance	Completed	Report taken to June Committee	Green
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	<u>INTERNAL AUDIT – FINAL OUTTURN REPORT.</u>	The Committee was to be updated on progress of Internal audit work. Quarterly updates provided as planned	Head of Internal Audit	In Forward Work Programme for November 2019	Report to November Committee	Green
	<u>REGIONAL INTERNAL AUDIT SHARED SERVICE CHARTER 2019/20</u>	Harmonisation of the Audit Committees terms of reference with neighbouring authorities. Suggested consideration for potential networking initiative – Chairs of Audit Committees of neighbouring authorities to meet up and share best practice.	Head of Internal Audit	In Forward Work Programme for November 2019	All Wales Session planned for Audit Committee Chair on 11 th October 2019.	Green Green