

Date Raised	Item	Recommendation	Responsible Officer	Status	Due Date for Update
23/05/23	Agenda Item 6: Call-in Strategic Director – Transformation and Corporate and the Head of Finance Re Purchasing Cards (Transactions) resulting in an Unsatisfactory Opinion	<ol style="list-style-type: none"> 1. Figures to be provided of staff that did not attend the training on the use of P-Cards within the required deadline of 23 June. 2. Clarification on Page 31, Appendix 1, Table 4b Completed Action and Policy Implementation date of 20 June. 3. Page 31, Appendix 1, Table 4a – an update on recovering the cost of parking / speeding fines. 	<p>Strategic Director for Transformation and Corporate</p> <p>Head of Finance</p> <p>Strategic Director for Transformation and Corporate</p>	<p>COMPLETED</p> <p>1. As at 23rd June, 59 card holders had not fully completed the training. By the 30th June, this number was reduced to 28. As at the 19th September this number stands at 11. All card holders who had not completed the training by the 23rd June had their card suspended, and cards are only reinstated once the training is completed.</p> <p>2 and 3. COMPLETED The Travel & Subsistence Policy, Driver Handbook and Vehicle Hire Request Form have all been updated for the agreed procedure for recovery of fines. Communications included in staff newsletters and further communications planned as organisational reminders.</p>	n/a – closed
23/05/23	Agenda Item 7: Update on PTU Taxi Contracts resulting in	<p>The Chair requested an update for the next two committee meetings regarding progress.</p>	<p>Head of Infrastructure</p>	<p>COMPLETED</p> <p>Written update received on 27th July 2023 and Head of</p>	n/a – closed

	Second Unsatisfactory Opinion – January 2023			Infrastructure attending on 28 th September to provide further update.	
23/05/23	Agenda Item 8: Update on Call-in of Strategic Director for Social Services and Head of Service re the Internal Audit of Adoption Allowances resulting in a Second Unsatisfactory Opinion – January 2023	That the Strategic Director for Social Services would be invited to the next meeting on 27 July to provide an update on progress.	Strategic Director for Social Services	COMPLETED Strategic Director for Social Services presented update to Committee on 27 th July 2023	n/a closed
23/05/23	Agenda Item 9: Treasury Management Outturn Report – 2023/24	Clarification of Investment and Accrued Interest figures on page 50, point 13 would be checked for accuracy and amend accordingly before it was reported back to Cabinet in June.	Assistant Head of Finance	COMPLETED The mistake was rectified before the report was shared with Cabinet in June.	n/a – closed
23/05/23	Agenda Item 10:	1. The Strategic Director for Transformation and Corporate, along with the Audit Manager	Strategic Director for Transformation and Corporate	On hold following Summer recess	

	<p>Internal Audit Annual Report 2023/24</p>	<p>contact the Chief Education Officer to discuss auditors entering schools during industrial disputes.</p> <p>2. The Strategic Director for Social Services be Called in regarding the Unsound Audit Opinion for Children Services Safeguarding Children Money</p> <p>3. The Monitoring Officer be contacted to see if this should be discussed as Part 2 item.</p> <p>4. Report taken to GAC at a future meeting regarding staffing / auditing resources and capacity in the Audit Team in relation to the regional consortium.</p> <p>5. Consider making changes to Appendix 3 so that areas are grouped as per their status under the risk column</p>	<p>/ Acting Chief Internal Auditor</p> <p>Strategic Director for Social Services</p> <p>Strategic Director for Transformation and Corporate /Head of Law and Standards</p> <p>Head of Finance</p> <p>Acting Chief Internal Auditor</p>	<p>2. COMPLETED Strategic Director for Social Services provided update to Committee on 27th July 2023</p> <p>3. COMPLETED If considered, this should be Part 2 report.</p> <p>4. In Progress – Update report on Internal Audit team to be considered by Committee in September. Further updates on developments regarding regional consortium to be shared when available.</p> <p>5, 6 In Progress – Acting Chief Internal Auditor is considering recommendations as part of future quarterly updates.</p>	
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23/05/23	<p>Item 12:</p> <p>Forward Work Programme</p>	<p>That the Governance and Audit Committee Annual report be added to the Work Programme, to be discussed with the Strategic Director for Transformation and Corporate.</p>	<p>Strategic Director for Transformation and Corporate</p>	<p>COMPLETED – This has been added to the Forward Work Programme for the Committee to consider on 28th November 2023</p>	<p>n/a - closed</p>
23/07/23	<p>Item 3:</p> <p>Minutes of the last meeting</p>	<p>That dates for completion be added to the table of recommendations.</p>	<p>Democratic and Electoral Services Manager</p>	<p>COMPLETED</p> <p>Column added to target dates for updates</p>	<p>n/a – closed</p>
23/07/23	<p>Agenda Item 4:</p> <p>Call-in the Director of Social Services and Head of Service re the Internal Audit of Adoption</p>	<p>Escalate concerns to the Chief Executive and Executive Board, including Cabinet.</p>	<p>Strategic Director for Social Services</p>	<p>COMPLETED – Concerns of the Committee have been raised with the Chief Executive, Exec Board and Cabinet.</p>	<p>n/a - closed</p>

	Allowances resulting in a Third Consecutive Unsatisfactory Opinion				
23/07/23	Agenda Item 5: Call-in the Strategic Director and Head of Service re the Unsound Opinion for Children Services Safeguarding Children's Money	Escalate concerns to the Chief Executive and Executive Board.	Strategic Director for Social Services	COMPLETED – Concerns of the Committee have been raised with the Chief Executive and Exec Board.	n/a - closed
23/07/23	Agenda Item 7: Corporate Risk Register Quarter 4	<ol style="list-style-type: none"> 1. Provide an information only written update on the work being undertaken to manage the impact of the Eliminate Programme. 2. Clarification to be provided in Quarter 1 and Quarter 2 reports estimated completion dates of 31 March (Q4) on Pages 87, 93 and 9 of the risk mitigation action plan. 	<p>Strategic Director for Social Services</p> <p>Performance and Programme Manager</p>	<ol style="list-style-type: none"> 1. In Progress – written update to be shared with Committee 2. COMPLETED Following Quarter 4 and end of year process, service areas reviewed their service plans and risk mitigation action 	

		<p>3. Provide brief demonstration of My Hub and how it was used to manage risks in real-time prior to next meeting.</p> <p>4. The Section 151 Officer would prepare a comprehensive report for September's Governance and Audit Committee detailing actions to address capacity issues and the delivery of the audit plan for 2023/24, including costs of delivery through external organisation.</p> <p>5. Leader of the Council to be invited to the Governance and Audit Committee to address the matter of capacity within Internal Audit.</p>	<p>Performance and Programme Manager</p> <p>Head of Finance</p> <p>Strategic Director for Transformation and Corporate</p>	<p>plans. These have been updated to reflect the mitigating activity in 2023/24.</p> <p>3. Mi Hub demonstration and overview of the risk management process can be provided to Committee members. Date will be confirmed with Democratic Services to ensure availability of Committee members.</p> <p>4. COMPLETED Agenda item for Committee on 28th September 2023</p> <p>5. COMPLETED – Leader and Chief Exec to attend Committee on a 6 monthly basis</p>	
23/07/23	Agenda Item 8: Audit Wales and Regulatory	<p>1. Make amendments in future reports to make it clearer on whether the recommendations</p>	<p>Performance and Programme Manager</p>	<p>In Progress</p> <p>Both actions will be reviewed and considered in preparation</p>	<p>Jan 2024</p>

	Body Six-Month Update	<p>were completed or in progress (e.g. Carbon Reduction 114, Equality Impact Assessment 116, Asset Management 117).</p> <p>2. Anonymised recommendations from the Care Inspectorate for Wales inspections to be shared with the Committee, subject to the approval of the Monitoring Officer.</p>	Performance and Programme Manager / Head of Law and Standards	of the next 6 monthly update which will be presented in January 2024.	
23/07/23	Agenda Item 9: Draft Statement of Accounts 2022/23	<p>1. Committee Members to share responses to report with Senior Finance Business Partner via email.</p> <p>2. Senior Finance Business Partner (Chief Accountant) to collate responses from members of the committee and send to the Chair.</p>	<p>Committee Members</p> <p>Senior Finance Business Partner</p>	1 and 2 COMPLETED Deadline for responses to be shared was the 31 st August.	n/a – closed