

Item	Committee	Committee Date	Decision	Completion Date	BRAG	Comment	Open/Closed
Commercial Update/Work Programme	Governance & Audit	29/09/23	To add an item to the work programme: Review into the processes and risks involved with the Red Dragon, Newtown council housing development.		2 - Green	Head of Finance requested the SWAP Assistant Director - Powys to commission a piece of work on this risk. Progress to be monitored by the Internal Audit Working Group with the final report going to G&A Committee for consideration.	Open
Corporate Safeguarding Board Activity Report	Governance & Audit	29/09/23	Director of Social Services and Housing agreed to provide a response regarding the position of DBS or other safeguards where the Council provided accommodation for 16- and 17-year-olds experiencing homelessness.		3 - Amber	Action forwarded to the Director of Social Services and Housing for response.	Open
Commercial Update	Governance & Audit	29/09/23	The Chair requested that the Head of Finance and Professional Lead – Commercial and Procurement, review the risk registers to ensure that there was appropriate coverage of this risk (relating to contractor insolvency, project bank accounts etc).		2 - Green	Head of Finance and Professional Lead – Procurement and Commercial requested to provide an assurance update at the 8/12/2023 GAC meeting.	Open
New Ways of Working Presentation	Governance & Audit	29/09/23	Request to provide the statistics on flexi hours owed when the item was scheduled again at a future Committee meeting. To receive assurance from Senior Officers at a future meeting, to allow Committee Members to review the New Ways of Working guidance and documentation.		2 - Green	Item added to the forward work programme for response from the Head of Workforce and Organisational Development at the 12/01/2024 GAC meeting.	Open
SWAP Progress Report	Governance & Audit	29/09/23	To schedule the 2 x schools limited internal audits for the November 2023 Committee meeting to receive assurance from the Headteachers/Chair of Governors/Education Service Officers on actions planned/taken to address findings.	07/11/23	1 - Blue	Item scheduled on FMP for November 2023 Committee Meeting. Headteachers/Chair of Governors/Education Officers invited.	Closed
Q1 Strategic Risk Report	Governance & Audit	29/09/23	Regarding the risk involving WCCIS (strategic risk ASC0064), it was listed as having a residual risk score of 20. Were appropriate plans in place in case the system ceased to function?		3 - Amber	YCC limited internal audit to be scheduled for a meeting in December 2023. Action forwarded to the Director of Social Services and Housing for response.	Open
Q1 Strategic Risk Report	Governance & Audit	29/09/23	To review the context and expiry of the Income Management policy.		3 - Amber	Action forwarded to the Head of Finance.	Open
Q1 Strategic Risk Register - Closed Risk Report	Governance & Audit	29/09/23	To seek assurance from Senior Officers relating to the closed escalated risk, at a future Committee meeting.		2 - Green	The closed risk could be considered at the 1st March 2024 GAC meeting, however the Head of Service noted that this may not be necessary if the risk is deescalated before this date.	Open
G&A Committee ToR/Constitution update	Governance & Audit	29/09/23	The Head of Finance would contact the Monitoring Officer to prepare a report for the Democratic Services Committee to consider.		2 - Green	Head of Finance contacted the Head of Legal/Monitoring Officer to draft a report for Democratic Services Committee to consider, which would then need to be formally approved by the County Council.	Open
Commercial Update	Governance & Audit	29/09/23	The Chair requested that the Head of Finance and Professional Lead – Commercial and Procurement, review the risk registers to ensure that there was appropriate coverage of this risk (relating to procurement/contract risks surrounding the Red Dragon council housing project in Newtown).		2 - Green	Assurance update scheduled on the forward work programme for the 8/12/2023 GAC meeting.	Open
Sustainable Powys - Update	Governance & Audit	28/07/23	The Chair recommended that a methodology be developed to enable qualitative and quantitative benefits of Sustainable Powys to be tracked and communicated to all stakeholders.	27/09/23	1 - Blue	Accepted. This can be implemented as Sustainable Powys develops.	Closed
Self-assessment action plan update	Governance & Audit	28/07/23	Recommended that the Chair and Support Officer review: o the approach to public engagement with GAC, o the skills audit, training needs and log for GAC Members.		2 - Green	Training for GAC Members to be scheduled: ICT/Digital training - potentially provided by SWAP. Finance/Risk training - potentially provided by PCC Officers. Public engagement approach to be developed further. Capacity for PCC Comms Team to share webinar links/recordings on PCC social media pages.	Open
Work Programme	Governance & Audit	28/07/23	Noted that the Committee had discussed the issues relating to large agendas, and that the Chair would explore alternative arrangements with Scrutiny Service Officers to reduce agenda and report volume.	26/09/23	1 - Blue	Meeting scheduled with Chair/Head of Finance/Head of DS/Scrutiny Services to review GAC future work programming and frequency of reports. Completed - new format for work programme, commenced agenda setting meeting, pre-meet and post-meeting debrief to keep on track of reports due and any actions/recommendations.	Closed
Q1 Fraud Report	Governance & Audit	28/07/23	The Committee did not agree with the Monitoring Officer's suggestion, and requested the Monitoring Officer to write to the Public Services Ombudsman for Wales, to ask for the Member's Code of Conduct to be strengthened and updated with anti-fraud references.		1 - Blue	Response received from the PSOW confirming that changes to the Model Code of Conduct can only be made by Welsh Government. Monitoring Officer to contact Welsh Government to request the changes be made to the Model Code of Conduct. Response from the PSOW suggested that any changes made to the Council's Constitution outside the scope of the Model Code of Conduct would not be investigated. Monitoring Officer to be requested to share anti-fraud policies with Members. Members Officer shared policies with Councilors on behalf of the G&A Committee. COMPLETED.	Closed
Q1 Fraud Report	Governance & Audit	28/07/23	The Committee requested that a "report fraud" button be implemented into the Staff Intranet as was previously available. Further advice was to be sought from Officers to explain the reasoning as to why this would not be possible.	07/11/23	1 - Blue	Head of Finance contacted senior officers in the IT & Digital Teams to implement 'report fraud' link/button on the staff intranet page, awaiting response. ICT Officer to add 'report fraud' button to the staff intranet page.	Closed
Corporate Complaints Report	Governance & Audit	23/06/23	To consider liaison between the lessons learnt from corporate complaints with the Strategic Risk Officer, to identify any links to strategic risks.		2 - Green	Accepted. Awaiting changes to complaints system to allow lessons learnt to be tracked. Once in place, lessons learnt from corporate complaints will be shared with the Strategic Risk Officer to identify any links with strategic risks.	Open
Recommended that risk management training be made mandatory training for relevant officers	Governance & Audit	23/06/23	Recommended that risk management training be made mandatory training for relevant officers	19/07/23	1 - Blue	Recommendation sent to CEO/EMT to consider.	Closed
SWAP - Review of Housing Voids (Housing Service)	Governance & Audit	23/06/23	Seek assurance from Risk Management if there are any wider Corporate implications in respect of data integrity and data accuracy.	05/10/23	1 - Blue	Recommendation sent to Head of Service for response.	Closed
SWAP - Internal Audit Plan 2023-24	Governance & Audit	23/06/23	Chair, Head of Audit and Head of Finance to finalise the Plan, Protocol and Charter ready for formal approval at the next meeting of the Governance and Audit Committee.	28/07/23	1 - Blue	Completed. GAC formally approved the Internal Audit Plan for 2023/24 at the 28/07/2023 meeting. Follow up work regarding seeking amendment to the ToR/Constitution is ongoing.	Closed
	Governance & Audit	05/05/23	Audit Wales to advise when review completed, and information updated on the Financial Sustainability Data Tool		2 - Green		Open
	Governance & Audit	05/05/23	Audit Wales to advise when review completed, and information updated on the Financial Sustainability Data Tool		2 - Green		Open
Audit Wales Detailed Plan	Governance & Audit	31/03/23	The Audit Wales detailed plan to be added to the Forward Work Programme for July 2023	31/07/23	1 - Blue	Considered by GAC on 28/07/2023.	Closed
Debt Policy	Governance & Audit	31/03/23	Committee to be notified of Sundry Debt policy updates	31/03/24	2 - Green		Open
Decision Tracker	Governance & Audit	09/02/23	Recirculate Working Group Terms of Reference to the Committee	16/02/23	1 - Blue		Closed
Decision Tracker	Governance & Audit	09/02/23	Template for Working Group feedback reports to be devised		1 - Blue		Closed
Strategic Risk Register Report Quarter 2	Governance & Audit	09/02/23	Committee to further consider school budgets for a risk Deep Dive.		2 - Green		Open
Strategic Risk Register Report Quarter 2	Governance & Audit	09/02/23	Chair to write to Cabinet to ask them to consider the accountability and sightedness of de-escalating the two risks if they are included in the overall corporate risk		1 - Blue		Closed
Quarterly Internal Audit Update Report 2022-23 - Quarter 3	Governance & Audit	09/02/23	Head of Finance to progress the outstanding actions record being updated (Page 89 of the agenda pack)		2 - Green		Open
SWAP Report – Deprivation of Liberty Safeguards	Governance & Audit	09/02/23	Assurance to be provided at end of the twelve month period that the actions had been Addressed, if not what were the risk implications for the Council.		2 - Green		Open
Corporate Safeguarding Audit Report	Governance & Audit	09/02/23	Updates from the Director following meetings of the Corporate Safeguarding Board to Scrutiny and Cabinet to be circulated to the Committee as well	31/03/23	1 - Blue	Corporate Safeguarding Board Activity Reports were regularly received by Governance and Audit Committee since March 2023.	Closed
Quarterly Internal Audit Update Report 2022-23 Quarter 3	Governance & Audit	09/02/23	Ukraine - The Assistant Director indicated that he would review how this was detailed in the coverage		2 - Green		Open
5.1 Quarterly Internal Audit Update Report 2022-23 - Quarter 3	Governance & Audit	09/02/23	It would also be helpful if some work was undertaken to identify how audit recommendations were recognised in risk registers.		2 - Green		Open
SWAP Report – Continuing Health Care	Governance & Audit	09/02/23	Director of Social Services name to be added to the SWAP report as responsible for management action		2 - Green		Open
Statement of Accounts	Governance & Audit	20/01/23	Council's Policy regarding deliberate deprivation of assets and how this is mitigated (residential homes) – add to work programme		1 - Blue		Open
Statement of Accounts	Governance & Audit	20/01/23			1 - Blue		Closed
Strategic Risk Register – Quarter 2	Governance & Audit	20/01/23	Care home businesses which are subject to short term tenure – should this be a separate risk in the strategic risk register		1 - Blue	Emailled Director and Head of Service 02-02-2023	Open
Strategic Risk Register – Quarter 2	Governance & Audit	20/01/23	Distinction between risks and issues – is there a need for separation between these items		2 - Green		Open
Strategic Risk Register – Quarter 2	Governance & Audit	20/01/23	Governance and Audit and to be invited to relevant Member Development Sessions		1 - Blue	Emailled support officer 02-02-2023	Open
Strategic Risk Register – Quarter 2	Governance & Audit	20/01/23	Presentation by Audit Wales to the committee on cyber security		2 - Green		Open
Insurance Cover for Members and Officers Serving on Outside Bodies	Governance & Audit	20/01/23	Copy of email to Members to be sent to Lay Members for information	02/02/23	1 - Blue	Emailled to Lay Members	Closed
Insurance Cover for Members and Officers Serving on Outside Bodies	Governance & Audit	20/01/23	Head of Finance to speak to the Head of Legal Services regarding the role of officers on outside bodies		2 - Green		Open
Work Programme	Governance & Audit	20/01/23	Actuaries note in respect of pension contributions to be made available to the Committee	09/02/23	1 - Blue	Confidential item on meeting of Governance and Audit 09-02-2023	Closed
GCRE	Governance & Audit	14/12/22	GCRE - Governance and Risk Assurance Paper (where the Council is involved in complex matters where the Council has a variety of roles and whether there are any conflicts of interest.		2 - Green	Raised at GCRE presentation with the Committee	Open
Minutes	Governance & Audit	24/11/22	Email to Members to check insurance arrangements when they sit as PCC representatives on outside bodies		1 - Blue		Closed
Minutes	Governance & Audit	24/11/22	That clarification be sought from the Housing Service regarding what action the Council could take regarding empty dwellings.	09/01/23	1 - Blue	Email to HOS 30-12-2022. Response emailed to Members 09-01-2023	Closed
Minutes	Governance & Audit	24/11/22	Review of Debt Policy – add to Forward Work programme		1 - Blue		Closed
Annual Governance Statement	Governance & Audit	24/11/22	That a report be presented to the Committee on the revised process for the AGS for 2022-23	20/01/23	1 - Blue	Considered at Committee 20-01-2023	Closed
Corporate Fraud	Governance & Audit	24/11/22	That Heads of Service be asked for an assurance that they were ensuring that staff had read the fraud awareness guidance on netconsent		2 - Green	Email sent to HOS 30-12-2022	Open
Corporate Fraud	Governance & Audit	24/11/22	The Assistant Director (SWAP) to provide an update on the fraud risk assessment for Powys		2 - Green	Email sent 30-12-2022	Open
Working Groups	Governance & Audit	24/11/22	Schedule of initial working group meetings to be prepared	30/08/23	1 - Blue	All arranged except IA Working Group.	Closed
Working Groups	Governance & Audit	24/11/22	Each working group to determine its own work programme at the first meeting	30/08/23	1 - Blue	IA Working Group has now started, next date to be arranged with the Chair.	Open
Working Groups	Governance & Audit	24/11/22	Add details of key contacts to the Terms of Reference		1 - Blue	Working Groups set up and have established a work programme.	Closed
Work Programme	Governance & Audit	24/11/22	Identity of the risks subject to a deep dive to be included in the work programme		1 - Blue		Closed
Work Programme	Governance & Audit	24/11/22	Deep dives 1 and 2 – officers to be contacted about dates as soon as possible		1 - Blue	Scheduled for March 2023	Closed
Work Programme	Governance & Audit	24/11/22	The regulatory tracker be added to the work programme on a quarterly basis		1 - Blue	Confidential Briefing held for the Committee on 20-01-2023	Closed