

<b>ISLE OF ANGLESEY COUNTY COUNCIL</b>	
<b>Report to:</b>	<b>Governance and Audit Committee / County Council</b>
<b>Date:</b>	<b>25 May 2021 / 7 September 2021</b>
<b>Subject:</b>	<b>Annual Report of the Governance &amp; Audit Committee 2020-21 – Chair’s Report</b>
<b>Head of Service:</b>	<b>Marc Jones, Director of Function (Resources) and Section 151 Officer</b> <b>01248 752601</b> <a href="mailto:MarcJones@ynysmon.gov.uk">MarcJones@ynysmon.gov.uk</a>
<b>Report Author:</b>	<b>Marion Pryor, Head of Audit and Risk</b> <b>01248 752611</b> <a href="mailto:MarionPryor@ynysmon.gov.uk">MarionPryor@ynysmon.gov.uk</a>
<b>Nature and Reason for Reporting:</b> The Governance and Audit Committee is required to report to ‘those charged with governance’ (the County Council) an assessment of its performance on its activities during the year to demonstrate how the Committee has discharged its responsibilities.	

## **1. Introduction**

1.1. This report details the activities of the Governance and Audit Committee during 2020-21. The Governance and Audit Committee is an important element of the Council’s governance arrangements. Reporting on its activities helps demonstrate the Council is a well-managed authority which in turn contributes to ensuring that it is making the best use of its resources.

## **2. Recommendation**

2.1. That the Governance and Audit Committee endorses the Annual Report of the Governance and Audit Committee for 2020-21 prior to its submission to the meeting of the County Council on 7 September 2021.

## Background Information

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1. The Governance and Audit Committee is a statutory Committee of the Council. It is a key component of the Council's governance framework providing independent and high level resource to support good governance and strong public financial management.
2. The Committee provides, to those charged with governance, independent assurance on the adequacy of the governance and risk management frameworks, the internal control environment, and the integrity of the financial reporting. By overseeing internal and external audit and other regulators, it makes an important contribution to ensuring that effective assurance arrangements are in place.

## Governance

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3. The core functions of an audit committee are to be satisfied that the authority's assurance statements, including the annual governance statement, properly reflect the risk environment and any actions required to improve it, and demonstrate how governance supports the achievement of the authority's objectives.
4. Governance documents received during the year were:

### **Annual Governance Statement 2019-20**

5. The Committee received the draft Statement of Accounts and Annual Governance Statement for 2019-20 prior to their review by External Audit at its meeting of 21 July 2020. The Committee's review of the Statement of Accounts is detailed under [Financial Statements](#) below.
6. At its meeting of 13 October 2020, the Committee resolved to approve the Annual Governance Statement and refer the document to the Leader of the Council and the Chief Executive for signature.

### **Information Governance Annual Report 2019-20**

7. The Director of Function (Council Business) and Monitoring Officer (Designated Senior Information Risk Owner (SIRO)) presented the annual report to the Committee on 1 September 2020. The report set out the SIRO's statement and overview of the Council's compliance with the legal requirements and relevant codes of practice in handling corporate information and information about the Council's contact with external regulators, security incidents and breaches of confidentiality or near misses along with Freedom of Information requests and complaints during the period.
8. The statement provided analysis of key information governance issues for the period and detailed actions taken to strengthen and further improve how the Council manages risk to information.

9. Following clarification by the Director of Function (Council Business) and Monitoring Officer around matters specifically in relation to the risk implications of the outstanding audit in the Learning Service, the workload pressures generated by the volume of FOI requests year on year and the management of CCTV, the Committee resolved to accept and adopt the report recommendations.

### **Concerns, Complaints and Whistleblowing 2019-20**

10. On 1 September 2020, the report of the Director of Function (Council Business) and Monitoring Officer provided information on issues arising under the Council's Concerns and Complaints Policy. The report also included Social Services complaints but only those where the complainant was not a service user.
11. The Committee expressed a view that in order to obtain a balanced picture of customer satisfaction around service delivery, it would be useful to have information about compliments, expressions of appreciation and/or positive feedback about aspects of service included within the report.
12. In relation to a compliance issue with regard to staff without access to the Policy Portal, while acknowledging the explanation provided, the Committee sought assurance that the matter was being pursued at the highest level.
13. The Committee accepted the report as providing reasonable assurance that the Council is compliant with the processes required under its Concerns and Complaints Policy and Whistleblowing Policy / Guidance and accepted and noted the Lessons Learnt Table within.

### **Policy Acceptance 2019-20 – Year 3 Compliance Data**

14. On 1 September 2020, the report of the Director of Function (Council Business) and Monitoring Officer provided details of the level of compliance in relation to policy acceptance via the Council's Policy Portal management system for the third year of monitoring.
15. The report provided the Committee with assurance that individual members of staff are reading, understanding and formally accepting key Council policies. The Committee accepted the assurance and having noted a year on year decline in the policy acceptance compliance level within one service over the past three years, requested a response to this from the relevant Head of Service.
16. The Director of Function (Council Business) and Monitoring Officer has obtained a response from the Head of Service and will report their response in the Policy Acceptance 2020-21 – Year 4 Compliance Data report due to be submitted to the meeting in September 2021.

### **Annual Cyber Security Report 2019-20**

17. On 1 December 2020, the IT Service and Performance Management Manager presented the Cyber Security Annual Report for 2019-20 on behalf of the Head of

Profession (HR) and Transformation. The report summarised the cyber threats facing the Council and provided an overview of some of the mitigations the Council had in place to counter these threats.

18. The Committee welcomed the report and having highlighted the issue of councillor and officer cyber security training and quantitative assessment of the success of mitigation measures, resolved to accept the report and note the assurance provided.

### **Anglesey Schools Data Protection Evaluation Report**

19. On 1 December 2020, the report of the Schools Data Protection Officer provided an analysis of schools' position in respect of compliance with requirements under data protection legislation, mainly under the General Data Protection Regulations (GDPR).
20. The report gave a summary of the Schools Data Protection Officer's findings following the first visit to primary and secondary schools and outlined the next steps to take to ensure that all schools met data protection requirements as soon as possible.
21. Following clarification by the Schools Data Protection Officer specifically around the plan to deliver proposed changes, third party providers who process / store personal data on behalf of schools, and the impact of the COVID-19 emergency on planned GDPR training for school governors, the Committee resolved to accept the report and endorse the report recommendations.

## **Risk Management**

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22. In relation to risk management, the core functions of an audit committee are to consider the effectiveness of the authority's risk management arrangements and the control environment, reviewing the risk profile of the organisation and assurances that management is taking action on risk-related issues, including partnerships and collaborations with other organisations.
23. In addition, the Local Government Measure (Wales) 2011 includes a requirement for local authorities to appoint a Committee with responsibility to review and assess the risk management, internal control and corporate governance arrangements of the Council. The Governance and Audit Committee's terms of reference also charge it with fulfilling these requirements.
24. The Committee has continued to support the Risk Management framework within the Council during the year. It considered the Council's corporate risks during its meeting on 1 December 2020. The Risk and Insurance Manager presented the report of the Head of Audit and Risk incorporating the revised Corporate Risk Register for the Committee's consideration. The Committee received clarification around the rationale for redefining risks and clarification concerning other risks.
25. The Committee resolved to note the amendments to the Corporate Risk register as part of the Council's arrangements for managing its risks and to take assurance that

the Senior Leadership team had recognised and was managing the risks to the achievement of the Council's priorities.

## Financial Statements

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26. In relation to financial statements, the Committee's core function is to review the financial statements, external auditor's opinion and reports to members, and monitor management action in response to the issues raised by external audit.
27. The Committee received the draft Statement of Accounts and Annual Governance Statement for 2019-20 prior to their review by External Audit at its meeting of 21 July 2020.
28. At its meeting of 1 September 2020, the Director of Function (Resources) and Section 151 Officer advised the Committee that he presented the External Auditors with the Council's draft Statement of Accounts for 2019-20 for audit on 6 July 2020. However, due to resourcing issues within the External Audit team, compounded by a delay in NHS audits because of COVID-19, External Audit was not able provide an audit opinion or publish its ISA 260 report on the financial statements due to outstanding reviewing and reporting work at that time.
29. As the detailed audit work was substantially complete, the Committee resolved to recommend to the Full Council that it would confirm acceptance of the 2019-20 Interim Final Statement of Accounts at its next meeting. It noted that the Statement of Accounts 2019-20 would return to the Governance and Audit Committee and Full Council to be signed again by the Director of Function (Resources) and Section 151 Officer once the audit opinion and report had been completed.
30. The Committee held an extraordinary meeting 13 October 2020 to consider the finalised Statement of Accounts 2019-20 and the report of External Audit on the Financial Statements (ISA 260 Report).
31. The Director of Function (Resources) and Section 151 Officer highlighted the main issues arising since the draft Statement of Accounts was presented to the Governance and Audit Committee on 1 September, 2020 and confirmed that no material changes had been made to the Statement of Accounts.
32. Following clarification sought about officer's remuneration, an increase in interest incurred since the draft Statement of Accounts, funding from the David Hughes' Charity Trust and payroll controls, the Committee resolved to recommend to the County Council that it confirmed the acceptance of the 2019-20 Statement of Accounts.
33. While the External Auditor noted that some work was outstanding around a review of the Pensions Liability, he confirmed it would be completed before the full Accounts were submitted to the full Council for acceptance.
34. The External Auditor congratulated the Council on meeting the original statutory timetable for issuing draft accounts to a very high standard during the difficult period

due to the COVID-19 pandemic and noted that the minor typographic amendments would be rectified before submission to the Authority's full Council meeting.

## Treasury Management

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35. The audit committee supports the Council by undertaking a wider role in reviewing and monitoring treasury management arrangements in accordance with Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes (CIPFA, 2017).
36. In accordance with its terms of reference and the CIPFA Code of Practice for Treasury Management in Public Services (2011), the Committee considered the Annual Treasury Management Review Report for 2019-20. The Director of Function (Resources) and Section 151 Officer presented the report for the Committee's consideration and scrutiny in line with regulations under the Local Government Act 2003 and the Council's Treasury Management Scheme of Delegation for 2019-20 on 21 July 2020.
37. The Committee noted that the outturn figures in the report would remain provisional until the audit of the 2019-20 Statement of Accounts was completed and signed off; any resulting significant adjustments to the figures included in the report would be reported as appropriate. The Committee also noted the provisional 2019-20 prudential and treasury indicators in the report and accepted to recommend it to the Executive without comment.
38. The Committee also received a mid-year report on Treasury Management at its meeting of 1 December 2020 to monitor developments and trends. The Director of Function (Resources) and Section 151 Officer made particular reference to the impact of COVID-19 and confirmed compliance with the approved treasury and prudential indicators. The Committee in its discussions raised points and gained clarity on matters including the progress of the capital programme, differences between interest rates for borrowing and investments and the extent of the Council's cash balances, and thereafter resolved to accept the report without further comment.
39. The Committee scrutinised the Council's Treasury Management Strategy Statement for 2021-22 on 9 February 2021. The Committee noted the increase in transaction limits in Appendix 8 to the report and resolved to accept the Treasury Management Strategy for 2021-22 and to forward the strategy to the Executive for approval subject to Table 4 being updated to reflect the current position.
40. As part of the scrutiny of the above reports, the Committee reviewed the Council's risk exposure and its ability to manage risk in relation to its Treasury Management activities.

## Internal Audit

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41. In relation to the authority's internal audit functions, the Committee's core function is to oversee its independence, objectivity, performance and professionalism, support the effectiveness of the internal audit process and promote the effective use of internal audit within the assurance framework.
42. It also has a role in supporting effective relationships between external audit and internal audit, inspection agencies and other relevant bodies, and encouraging the active promotion of the value of the audit process.
43. The Committee received the Head of Audit and Risk's Internal Audit Annual Report 2019-20 at its meeting of 21 July 2020. Following discussion around performance measures, staffing levels and adapting to the new working environment, assurances received around IT resilience and three long standing 'Issues/Risks' from 2014, the Committee resolved to accept the Head of Audit and Risk's overall audit opinion in relation to the adequacy and effectiveness of the Council's framework of governance, risk management and control for the year ending 31 March 2020.
44. At its meeting on 9 February 2021, the Committee resolved to note the review and to approve the continued appropriateness of the Internal Audit Charter. At the same meeting, the Committee reviewed the Head of Audit and Risk's report on the Internal Audit Assurance Provision for 2020-21. The Committee resolved to approve the arrangements for ensuring the Head of Audit and Risk would have sufficient assurance to support the Internal Audit Annual Opinion for 2020-21, and noted that there would be no limitation of scope.
45. The Committee approved the draft Internal Audit Strategy for 2021-22 at its meeting of 20 April 2021, accepting that the approach and priorities as outlined met the Council's assurance needs.
46. Due to the impact of the COVID-19 emergency on the work of internal audit, the Head of Audit and Risk provided an update on the internal audit strategy and priorities to each of the Committee's regular meetings. As part of this she reported outcomes of each audit assignment undertaken in the period and outlined the upcoming priorities for the internal audit service. The reports also included the progress of services in implementing management actions to address 'Issues/Risks' raised by Internal Audit.

## External Audit

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47. The core functions of an audit committee are to consider the reports and recommendations of external audit and inspection agencies and their implications for governance, risk management or control.
48. The Auditor General for Wales is the statutory external auditor of the Council. The Auditor General's role includes examining how the Council manages and spends public money, including how it achieves value in the delivery of public services and on how well the Council plans for improvement.

49. At its meeting of 21 July 2020, the Performance Audit Lead, on behalf of the Auditor General, set out the proposed Audit Plan for the 2019-20 audit year. It included the work proposed in relation to financial audit, an outline of the performance audit programme and a timetable for the completion and reporting of the external audit work at the Authority. Two supplementary letters outlined firstly, potential issues with regard to the accounts and financial audit process and timetable as a result of the COVID-19 emergency, and the second, dated June 2020, updated the performance audit work programme for 2020-21 and schedule in the wake of COVID-19.
50. Audit Wales presented its Annual Audit Summary 2020 to the Committee on 9 February 2021. The Committee resolved to accept the Annual Audit Summary report for 2020 and to note the contents.
51. The Committee has received and considered regular reports from Audit Wales. This is an important aspect of the Committee's business to ensure that the Council considers all external reports, by either the Governance and Audit Committee or one of the Scrutiny Committees, and that it is taking appropriate action:

### **Financial Sustainability Assessment at the Isle of Anglesey County Council**

52. On 1 September 2020, Audit Wales presented a report following its assessment of the sustainability of the Council's short to medium term financial position as part of a broad study of the financial sustainability of all 22 councils in Wales. The report focused on the financial strategy of each council as well as reviewing financial indicators of each council's financial position in relation to performance against budget; delivery of savings plans; use of reserves, Council tax and borrowing. The draft report was agreed during February / March 2020; however the final version was not issued until much later due to the intervention of COVID-19.
53. Following responses to the report's findings by the Director of Function (Resources) and Section 151 Officer, and the Head of Audit and Risk, the Committee questioned whether it should be revised and updated to reflect the Council's actual position, in particular the positive revenue outturn result for 2019-20 and improved reserves position. Following this and further discussions around performance in delivering savings and zero-based budgeting methodologies, the Committee resolved to accept External Audit's Financial Sustainability Assessment Report and to note its contents.

### **Wellbeing of Future Generations: An examination of early intervention and prevention to ensure that children are safe and supported at the Isle of Anglesey County Council**

54. On 1 September 2020, Audit Wales presented a report following its examination of the extent to which the Council is acting in accordance with the sustainable development principle in early intervention and prevention to ensure that children are safe and supported.
55. The Committee noted its contents and accepted the report as providing a positive assessment overall of the Council's work in this area, and highlighted that the Council has made great strides in Children's Services generally in the past few years.



## **Covid-19 Response & Recovery Interim Assurance Report**

56. On 1 December 2020 the report of Audit Wales, to assess the Council's response to the COVID-19 emergency and its approach to recovery, was presented to the Committee.
57. The Committee took assurance from Audit Wales's interim findings and resolved to accept and to note the interim findings of Audit Wales as presented in the report.

## **North Wales Regional Pooled Funds in relation to Care Home places for older people**

58. On 1 December 2020, Audit Wales presented its report relating to regional pooled funds in relation to care home places for older people to the Committee. The report, in the form of two letters; one to the Chief Executive of Anglesey County Council, and the other to the Director General for Health and Social Services, raised value for money issues in respect of the current North Wales pooled funding arrangements in this area.
59. Following comments and reservations expressed by Officers and the Social Services Portfolio Member with regard to the practical and governance aspects of the North Wales Pooled Fund, the Committee resolved to note the position as set out in the Audit Letters and confirmed that it was satisfied with the stance taken by the Authority and was happy to support it.

## **Delivering with Less: Leisure Services**

60. On 9 February 2021, the report of Audit Wales, setting out the findings of a follow-up review to the Auditor General's 2015 national report, Delivering with Less – Leisure Services was presented to the Committee. The report considered the impact of reductions in local government funding on the Council's leisure services and the effectiveness of the Council's arrangements for delivering those services.
61. Having raised and discussed specific issues relating to leisure service delivery models, the impacts of the COVID-19 on the Council's leisure facilities, and the condition of Council leisure buildings, the Committee resolved to accept the report and note its contents.

## **Countering Fraud and Corruption**

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62. The committee is required to review the effectiveness of the council's whistleblowing arrangements, including the policy, its counter-fraud and corruption strategy, actions and resources, fraud and corruption risks, and to oversee any major areas of fraud, and monitor action plans to address control weaknesses.
63. The Committee received the Director of Function (Council Business) and Monitoring Officer's report on issues arising under the Council's Concerns and Complaints Policy at its meeting on 1 September 2020, and took assurance that the Council is compliant

with the processes required under its Concerns and Complaints Policy and Whistleblowing Policy/Guidance.

64. On 1 September, the Head of Audit and Risk reported that two frauds had been attempted against the Council during the first lockdown period. Both were 'malicious redirection' frauds. The first involved a supplier's email system being hacked resulting in the Council paying two invoices using fraudulent bank details. The second involved a fraudulent email asking for staff bank account details to be changed. The majority of the funds were recovered from the first fraud, and due to successful officer training, the second was averted entirely.
65. As a result of these attempted frauds, the Head of Audit and Risk advised the Committee that a number of audits of the Creditors and Payroll systems were planned.
66. The Committee were advised that Internal Audit includes an assessment of fraud risks during each audit, which were reported to the Committee regularly throughout the year. In addition, Internal Audit conducted a specific audit of the management of the risk of fraud during 2019-20 and reported reasonable assurance; however, this was not reported to the Committee until 2020-21.

## Frequency of Meetings

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67. To discharge its responsibilities effectively the Committee should meet regularly and have a clear policy on those items it will consider in private and those it will consider in public.
68. The Committee's terms of reference require it to meet a minimum of four times per year. During the year, three meetings (April, May and June 2020) were cancelled due to the COVID-19 emergency. However, the Committee met formally (virtual meetings) on four occasions, with a fifth meeting to present the Statement of Accounts 2019-20 and the report of External Audit on the Financial Statements (ISA 260 Report). The membership and attendance at meetings during 2020-21 is at [Appendix A](#).
69. The Committee's terms of reference provide for it to meet privately and separately with the external auditor and the Head of Audit and Risk if required, although there was no such requirement during 2020-21.

## Structure and Membership

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70. The Committee is independent of both the executive and the scrutiny functions and includes an independent member as required by legislation. It has clear rights of access to other committees / functions, and is directly accountable to the Council.
71. The Committee consists of eight members of the Council, which are politically balanced, plus a maximum of two co-opted Lay Members appointed by the Committee. For the majority of the year, the Committee included two co-opted Lay Members', whose tenure commenced in June 2017.

72. Members are objective, independent of mind, knowledgeable and have a mix of expertise. Members are supportive of good governance principles and their practical application towards the achievement of organisational objectives. Members have unbiased attitudes and treat auditors, the executive and management fairly and have the ability to challenge the executive and senior managers when required.
73. During 2020-21, due to the COVID-19 emergency, Councillor Peter S Rogers and Mr Jonathan Mendoza (Lay Member) continued in their positions as Chairperson and Vice Chairperson for an additional year, following their election on 14 May 2019.
74. Mr Jonathon Mendoza resigned as lay member and Vice-Chairperson during the year, with his last meeting being on 1 December 2020. On 9 February 2021, the Committee elected Mr Dilwyn Evans as new Vice-Chairperson of the Governance and Audit Committee.
75. Also on 9 February 2021, as a result of Mr Mendoza's resignation, the Director of Function (Resources) and Section 151 Officer reported the considerations with regard to the replacement of a lay member for the remainder of the term to be served, i.e. until May 2022. The Committee resolved to ask the Council to amend its Constitution to reduce the number of lay members required on the Governance and Audit Committee from two to one. This was to allow for the provisions of the Local Government and Elections (Wales) Act 2021 passed on 20 January 2021, which includes changes to the Governance and Audit Committee's lay membership, to come into effect. The County Council resolved to amend the Constitution at its meeting of 9 March 2021.
76. During the year, members attended internal and external training, which is listed at [Appendix B](#), along with regular internal briefing sessions.
77. The Director of Function (Resources) and Section 151 Officer and the Head of Audit and Risk also attend every meeting of the Committee. The Chief Executive, and Director of Function (Council Business) / Monitoring Officer, and the appointed external auditor all regularly attend. These officers are able to access the Committee, or the Chair, as required.
78. The Committee's Forward Work Programme for 2021-22 is at [Appendix C](#). This is subject to change due to the current emergency situation.

## Terms of Reference

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79. Good practice suggests that committees should periodically review their terms of reference for appropriateness. During 2018-19, following a full revision of the CIPFA guidance to take account of legislative changes and professional developments, the Committee's terms of reference were substantially revised to update the core functions of the audit committee in relation to governance, risk management, internal control and audit.

80. On 20 April 2021, the Committee received the Head of Audit and Risk's report, which outlined the constitutional changes affecting the Committee following the implementation of the Local Government and Elections (Wales) Act 2021. The newly named Governance and Audit Committee, resolved to note the changes to the Council's Constitution and the reforms introduced by the Local Government and Elections (Wales) Act 2021.

## Effectiveness

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81. The Committee has worked within its current terms of reference, which includes the requirements of the Local Government (Wales) Measure 2011 in relation to the role of the Governance and Audit Committee in monitoring risk management, governance and internal control within the Council.
82. Due to the current emergency situation, the self-assessment against the new CIPFA Audit Committees Practical Guidance for Local Authorities and Police (2018), which commenced in March 2020, has not been finalised. Depending on the emergency situation, it is hoped that it will be finalised during 2021-22.

## Chair's Remarks

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83. The Chair would like to express his gratitude to the Committee's Members for their attendance and contribution to the work of the Committee during a particularly challenging year.
84. The Chair would also like to express his gratitude to those Council employees who have attended and contributed to the meetings and, in particular, the Chair takes this opportunity to thank all the staff within the Finance and Internal Audit services whom he has found most helpful.
85. The Chair takes this opportunity to remind the Council of the importance of the work of the Committee, which is even more relevant in the current economic and emergency situation in terms of ensuring that the Council is run in a sound manner and that it obtains value for money.
86. The Committee is committed to continuing to work with Council employees in supporting continuing improvements in the Council's operations in 2021-22.

**COUNCILLOR PETER S ROGERS**  
**CHAIR OF THE GOVERNANCE & AUDIT COMMITTEE**  
**MAY 2021**

## Appendix A – Frequency of Meetings and Attendance

Members	Meetings					Number of Meetings Attended
	21/07/2020	01/09/2020	13/10/2020	01/12/2020	09/02/2021	
Cllr Peter S Rogers (Chair)	Yes	Yes	Yes	Apologies	Yes	4/5
Mr Jonathan Mendoza (Lay Member) (Vice-Chair)	Yes	Yes	Yes	Yes	Resigned	4/4
Cllr Robert Ll. Jones	Yes	Yes	Yes	Yes	Yes	5/5
Cllr John Griffith	Yes	Yes	Yes	Yes	Yes	5/5
Cllr Richard Griffiths	Apologies	Yes	Yes	Apologies	Apologies	2/5
Cllr Gwilym O. Jones	Yes	Yes	Yes	Yes	Yes	5/5
Cllr Dylan Rees	Yes	Yes	Yes	Yes	Yes	5/5
Cllr Alun Roberts	Yes	Yes	Yes	Yes	Yes	5/5
Cllr Margaret M. Roberts	Yes	Yes	Yes	Yes	Yes	5/5
Mr Dilwyn Evans (Lay Member)	Yes	Yes	Yes	Yes	Yes	5/5
Cllr Robin Williams (Finance Portfolio Holder)	Yes	Yes	Yes	Yes	Yes	5/5
<b>Total for Committee<sup>1</sup></b>	<b>10</b>	<b>11</b>	<b>11</b>	<b>9</b>	<b>9</b>	

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<sup>1</sup> In accordance with the Committee's Terms of Reference, the committee will consist of eight elected members and two (one from February 2021) lay members. Elected members will be politically balanced and will not be members of the Executive, but the Finance Portfolio Holder is required, as far as possible, to attend all meetings of the Committee.

**Appendix B – Training Attended by Members 2020-21**

<b>Training</b>	<b>Cllr Peter S Rogers (Chair)</b>	<b>Mr Jonathan Mendoza (Vice-Chair)  (Lay Member)</b>	<b>Cllr Robert LI. Jones</b>	<b>Cllr John Griffith</b>	<b>Cllr Richard Griffiths</b>	<b>Cllr Gwilym O. Jones</b>	<b>Cllr Dylan Rees</b>	<b>Cllr Alun Roberts</b>	<b>Cllr Margaret M. Roberts</b>	<b>Mr Dilwyn Evans (Lay Member)</b>
Microsoft Teams				✓	✓	✓	✓	✓	✓	
CIPFA – Understanding the Impact of COVID-19										✓
Informal Zoom training	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

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## Appendix C – Proposed Forward Work Programme 2021-22

Core Function	Tuesday 25/05/21	Wednesday 23/06/21	Tuesday 20/07/21	Tuesday 21/09/21	Thursday 09/12/21	Tuesday 08/02/22	Tuesday 19/04/22
Accountability arrangements (3.4.8.3)	Annual Chair's Report 2020-21 (3.4.8.3.1)  Review of Forward Work Programme 2021-22 (3.4.8.3.2)				Annual Review of Committee's Terms of Reference		Committee Self-assessment (3.4.8.3.2)
Governance (3.4.8.4)		Draft Annual Governance Statement (3.4.8.4.1/2/3)	Local Code of Governance (3.4.8.4.1/3)	Final Annual Governance Statement (3.4.8.4.1/2/3)			
Treasury Management (3.4.8.5)			Annual Report 2020-21 (3.4.8.5.1/2/3/4)		Mid-year Report (3.4.8.5.3)	Strategy and Prudential Indicators 2022-23 (3.4.8.5.3/4)	
Assurance Framework (3.4.8.7) Risk Management (3.4.8.8)				Corporate Risk Register (3.4.8.7.1/2) (3.4.8.8.1)	Risk Management Framework (3.4.8.7.1/2) (3.4.8.8.1)	Corporate Risk Register (3.4.8.7.1/2) (3.4.8.8.1)	
Countering Fraud and Corruption (3.4.8.9)			Fraud Strategy (3.4.8.9.2/3)  Annual Fraud Report 2020-21 (3.4.8.9.4)	Annual Comments, Complaints & Whistleblowing Report (3.4.8.9.1)			

## Appendix C – Proposed Forward Work Programme 2021-22

Core Function	Tuesday 25/05/21	Wednesday 23/06/21	Tuesday 20/07/21	Tuesday 21/09/21	Thursday 09/12/21	Tuesday 08/02/22	Tuesday 19/04/22
Internal Audit (3.4.8.10)	Annual Internal Audit Report 2020-21 (3.4.8.10.6/7/8/9/12/14/15) (3.4.8.6)		Internal Audit Update Report (3.4.8.10.10/11) (3.4.8.6)	Internal Audit Update Report (3.4.8.10.10/11) (3.4.8.6)  Outstanding Issues/Risks (3.4.8.10.11)	Review of Internal Audit Charter (3.4.8.10.3/13)  Internal Audit Update Report (3.4.8.10.10/11) (3.4.8.6)	Annual Internal Audit Strategy 2022-23 (3.4.8.10.1/2/5/6)  Internal Audit Update Report (3.4.8.10.10/11) (3.4.8.6)	Internal Audit Update Report (3.4.8.10.10/11) (3.4.8.6)  Outstanding Issues/Risks (3.4.8.10.11)
External Audit (3.4.8.11)				Audit of Accounts Report (3.4.8.11.2) (3.4.8.12.3)	Annual Audit Summary 2021 (3.4.8.11.3) (3.4.8.6.3)		Annual Audit Plan 2021-22 (3.4.8.11.1/3)
Financial Reporting (3.4.8.12)		Draft Statement of Accounts 2020-21 (3.4.8.12.1/2)		Final Statement of Accounts 2020-21 (3.4.8.12.1/2)			



## Appendix C – Proposed Forward Work Programme 2021-22

Core Function	Tuesday 25/05/21	Wednesday 23/06/21	Tuesday 20/07/21	Tuesday 21/09/21	Thursday 09/12/21	Tuesday 08/02/22	Tuesday 19/04/22
Other regulators and inspectors (3.4.8.13)			Annual Health & Safety Report (3.4.8.13.1)	Annual Insurance Report 2021-22 (3.4.8.13.1)  Annual Information Governance Report 2021-22 (3.4.8.13.1)  Annual Policy Acceptance Report 2021-22 (3.4.8.13.1)  Annual ICT Security Report 2021-22 (3.4.8.13.1)	Annual Information Governance in Schools Report (3.4.8.13.1)		
Complaints Handling (3.4.8.14)				Annual Comments, Complaints & Whistleblowing Report (3.4.8.14.1/2)			
Panel Performance (3.4.8.15)			Draft Self-assessment 2020-21 (3.4.8.15.1/2)				

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