

FORWARD WORK PROGRAMME

Audit Committee 2016 & 2017

Subject area and brief description of nature of report	Lead Department	Responsible Officer	To Audit Committee:			
			Sept 2016	Jan 2017	March 2017	July 2017
Appointment of Audit Committee: <ul style="list-style-type: none"> Chair Vice Chair 	Corporate Services	Audit Committee				✓
Annual Audit Report	Corporate Services	Head of Audit, Risk & Procurement				✓
Forward Work Programme	Corporate Services	Head of Audit, Risk & Procurement	✓	✓	✓	✓
Internal Audit Plan 2016/17 Update <ul style="list-style-type: none"> To receive the progress report To receive the Scoring Matrix for finalised reviews 	Corporate Services	Head of Audit, Risk & Procurement	✓	✓	✓	✓
Internal Audit indicative three year plan	Corporate Services	Head of Audit, Risk & Procurement			✓	
Assurance Reviews: <ul style="list-style-type: none"> Fundamental financial systems 3* reports 	Corporate Services	Head of Audit, Risk & Procurement	As required			
Progress reports as requested by Audit Committee <ul style="list-style-type: none"> Supporting People 	Communities	Safeguarding & Commissioning Manager	✓	✓	✓	✓

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<ul style="list-style-type: none"> Coastal facilities 		Head of Leisure				
Approval of Audit Charter	Corporate Services	Head of Audit, Risk & Procurement	✓			
Approval of Contract & Quotation Rules	Corporate Services	Head of Audit, Risk & Procurement	✓			
Approval of Audit Strategy	Corporate Services	Head of Audit, Risk & Procurement		✓		
Approval of Financial Procedure Rules	Corporate Services	Head of Audit, Risk & Procurement		✓		
Approval of Risk and Business Continuity Strategy	Corporate Services	Head of Audit, Risk & Procurement		✓		
Approval of Anti-Fraud and Corruption Strategy	Corporate Services	Head of Audit, Risk & Procurement		✓		
Receive the Corporate Risk Register	Corporate Services	Head of Audit, Risk & Procurement		✓		✓
Statement of Accounts including Annual Governance Statement for Carmarthenshire CC & Dyfed Pension Fund 2015-16 <ul style="list-style-type: none"> To be received To be approved 	Corporate Services	Head of Financial Services	✓			✓

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Burry Port Harbour Accounting Statement 2015-16 <ul style="list-style-type: none"> To be received To be approved 	Corporate Services	Head of Financial Services	✓			✓
Audit enquiries to those charged with governance and management for: <ul style="list-style-type: none"> Carmarthenshire CC Dyfed Pension Fund 	Corporate Services	Head of Financial Services	✓			✓
Closure of European Funded Projects	Corporate Services	Head of Financial Services	✓			
Single Tender Action	Corporate Services	Director of Corporate Services	As required			
Minutes for noting: <ul style="list-style-type: none"> Grants Panel Corporate Governance Group Risk Management Steering Group 	Corporate Services	Head of Audit, Risk & Procurement Head of Financial Services	✓	✓	✓	✓
Wales Audit Office:	Corporate Services	Wales Audit Office				
<ul style="list-style-type: none"> Audit Plan Update 			✓	✓	✓	✓

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			Sept 2016	Jan 2017	March 2017	July 2017
<ul style="list-style-type: none"> • Annual Improvement Report 					✓	
<ul style="list-style-type: none"> • Financial Statements – ISA260 Report presented to those charged with Governance)in relation to the Statement of Accounts for <ul style="list-style-type: none"> ○ Carmarthenshire CC ○ Dyfed Pension Fund 			✓			
<ul style="list-style-type: none"> • Letter of Representation <ul style="list-style-type: none"> ○ Carmarthenshire CC ○ Dyfed Pension Fund 			✓			
<ul style="list-style-type: none"> • Annual Audit Letter: <ul style="list-style-type: none"> ○ Carmarthenshire CC ○ Dyfed Pension Fund 			✓	✓		
<ul style="list-style-type: none"> • Certification of Grants and Returns <ul style="list-style-type: none"> ○ 2015-16 					✓	
<ul style="list-style-type: none"> • Review of the application of Equalities impact Assessment in relation to Council improvement priorities 						
<ul style="list-style-type: none"> • LG Improvement Study 1 – Council funding of third sector services 						

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<ul style="list-style-type: none"> • LG Improvement Study 2 – The strategic approach to councils to income generation and charging for services 						
<ul style="list-style-type: none"> • National Study – The effectiveness of local community safety partnerships 						
<ul style="list-style-type: none"> • Auditor General’s fees <ul style="list-style-type: none"> ○ Financial Audits: <ul style="list-style-type: none"> ▪ Carmarthenshire CC ▪ Dyfed Pension Fund ○ Performance Audit 					✓	