

Carmarthenshire County Council Audit Committee Update – September 2016

Financial audit work 2015-16 – Dyfed Pension Fund

Activity	Scope	Status
Audit Plan	Plan of financial audit work for 2015-16.	Audit Committee March 2016.
Financial Statements/Annual Audit Letter	Audit of the Pension Fund's 2015-16 financial statements and Annual Audit Letter.	Audit Committee September 2016.

Financial audit work 2015-16 – Carmarthenshire County Council

Activity	Scope	Status
Certification of Grants and Returns 2014-15	Summary of grants and returns certification work 2014-15.	Audit Committee July 2016.
Audit Plan 2016	Plan of financial audit work for 2016-17.	Audit Committee March 2016.
Financial Statements 2015-16	Audit of the Council's 2015-16 financial statements.	Audit Committee September 2016.
Annual Audit Letter	Report summarising our 2015-16 financial audit work.	Audit Committee December 2016

Certification of Grants and Returns 2015-16

Summary of grants and returns certification work 2015-16.

Audit Committee March 2017

Performance work 2015-2016 - Carmarthenshire County Council

Activity	Scope	Status
Corporate Assessment	Review of the Council's capacity and capability to deliver continuous improvement.	Complete. Report issued January 2016. Follow up reviews 2016-17 (See Local Projects below*)
Annual Improvement Report	Annual review of Council's performance and arrangements	Complete. AIR issued April 2016
Local Project	Review of the application of Equalities Impact Assessment in relation to Council improvement priorities	Feedback to Council 28 th July. Findings to be included in Governance Thematic Review – including updated information.
Performance Review	Assessment of performance in relation to two of the Council's Key Improvement Priority Areas.	Complete. Assessment included in Annual Improvement Report issued April 2016
Financial Management and Financial Position Summary - 2	Further work on our financial management arrangements following up our 2014-2015 review, and looking forward to 2016-2017 budget setting and savings proposals. There will also be a focus on reserves position.	Complete. Issued – January 2016
Governance and Performance Reviews; inform the Corporate Assessment Report.	Human Resources Review. Information technology Review.	Complete. Informed Corporate Assessment report issued January 2016.

LG Improvement Study 1 – Council funding of third-sector services	Information Management Review. Asset Management Review. Partnership Review.	
	Underway	Report being drafted. Anticipated publishing in late autumn 2016
	Underway	Report being finalised. Anticipated publishing date - October/November 2016
LG Improvement Study 2 - The strategic approach of councils to income generation and charging for services	Underway	Report being finalised. Anticipated publishing date - October/November 2016
National Study – The effectiveness of local community safety partnerships	Underway	National and four PCC Reports being finalised. Anticipated publication date w/c October 17th 2016

Performance work 2016-2017 - Carmarthenshire County Council

Activity	Scope	Status
Audit Plan	Plan of performance audit work for 2016-17.	Audit Committee March 2016
Improvement Plan Audit – 2016-2016	Audit of the discharge of the Council's duty to publish an improvement plan.	Review of ARIP complete. Certificate issued early August.
Assessment of performance	Audit of the discharge of the Council's duty to publish an assessment of performance.	As above
Thematic Study: Financial Resilience (3)	Focus: Savings Plans	Fieldwork underway September 2016. Local reports December 2016.

Thematic Study: Governance	Focus: Governance of significant changes	Survey underway - deadline for response 16 th September. Fieldwork starting w/c 10 th October. Document review underway. Local reports January 2017
Thematic Study: Transformation	Focus of study to be confirmed	Projected timescale: Late 2016/Early 2017
Local Project*	Review of ICT arrangements – follow up of Corporate Assessment PFI	Site work (intermittent) - July to December 2016. Reporting January 2017
Local Project*	Review of progress of Corporate Assessment PFIs	Site work (intermittent) – to be confirmed September. Also part of Governance Thematic Study. Reporting January 2017
LG Improvement Study – 1 Improving well-being through housing adaptations	Underway – Carmarthenshire Council will participate in the survey only	Site work underway. Survey in draft and nearing completion.
LG Improvement Study 2 – Strategic commissioning of learning disability services by local authorities.	Underway – Carmarthenshire Council will participate in the survey only	Site work currently being set up. Survey in draft and nearing completion.
LG Improvement Study 3 – How local government manages demand – Homelessness services	Underway – Carmarthenshire Council is one of five sample local authorities participating in this study – involving fieldwork.	Site work currently being set up. Survey under construction. Website analysis initiated.

Updated 12.9.16