

FORWARD WORK PROGRAMME

Audit Committee 2016 & 2017

Subject area and brief description of nature of report	Lead Department	Responsible Officer	To Audit Committee:			
			Jan 2017	March 2017	July 2017	Sept 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 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 N.B Work is underway with an External Risk Consultant to improve the format of the Corporate Risk Register	Corporate Services	Head of Audit, Risk & Procurement		✓		✓
Statement of Accounts including Annual Governance Statement for Carmarthenshire CC & Dyfed Pension Fund <ul style="list-style-type: none"> To be received 	Corporate Services	Head of Financial Services			✓	✓

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<ul style="list-style-type: none"> To be approved 						
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			✓	
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 			✓	✓	✓	✓
<ul style="list-style-type: none"> Annual Improvement Report 				✓		

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<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 						
<ul style="list-style-type: none"> • LG Improvement Study 2 – The strategic approach to councils to income generation and charging for services 						

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<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 				✓		

Audit Committee Training / Informal Sessions

Subject area and brief description of nature of report	Lead Department	Responsible Officer	Dates	
			Feb 2017	July 2017
Audit Committee Self-Assessment	Corporate Services	Director Corporate Services Head of Audit, Risk & Procurement	✓	
Risk Register	Corporate Services	Director Corporate Services Head of Audit, Risk & Procurement	✓	
Statement of Accounts	Corporate Services	Director Corporate Services Head of Financial Services		✓