

| INTERNAL AUDIT PLAN 2016/17 | | | | | | | | | | |
|---------------------------------|--|--------------|-------------------|---------------------------|-----------|---------------------|---------------------|---------------------|--------------|---------------------|
| 2016/17 | % Plan Completion to Date | 48% | | % Target November 2016 | | | | | | 55.0% |
| Job No | Departments | Days Planned | Pre-Audit Meeting | Terms of Reference Issued | Commenced | Field Work Complete | Draft Report Issued | Final Report Issued | Days to Date | Status |
| Chief Executive | | | | | | | | | | |
| | | | | | | | | | | |
| 1116001 | Corporate Strategy/Policy Making | 8 | | | | | | | 0.0 | |
| 1116002 | Partnership Arrangements | 8 | | | | | | | 0.0 | |
| 1116003 | Call Centre | 5 | * | * | * | | | | 0.0 | Commenced |
| 1116004 | Print Commissioning | 5 | * | | | | | | 0.0 | Pre Audit Meeting |
| 1116005 | Annual Governance Statement | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 1116006 | Coroners / other services | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 1116007 | Registrars | 8 | * | * | | | | | 0.0 | Terms of Reference |
| 1216001 | HR Function | 10 | * | * | * | * | N/A | N/A | 10.0 | Complete |
| 1216002 | Staffing Policies | 8 | * | * | * | * | * | * | 8.0 | Complete |
| 1216003 | Declaration of Interest | 3 | | | | | | | 0.0 | |
| 1216004 | Democratic Advice and Support | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 1316001 | Financial Management Other (Cars BID) | 5 | * | * | * | * | * | * | 5.0 | Complete |
| | Total Audit Days for Chief Executive | 76 | | | | | | | 38.2 | |
| Education & Children | | | | | | | | | | |
| | | | | | | | | | | |
| 2116001 | Community Learning | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2116002 | Youth Support Service | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 2216001 | Information Management | 6 | * | | | | | | 0.0 | Pre Audit Meeting |
| 2216002 | School Meals / Catering Services | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 2316001 | Additional Learning Needs | 8 | | | | | | | 0.0 | |
| 2316002 | School Improvement | 5 | | | | | | | 0.0 | |
| 2316003 | Schools Organisation | 5 | | | | | | | 0.0 | |
| 2316004 | Teachers starters & leavers | 6 | * | * | * | | | | 0.0 | Commenced |
| 2416001 | Child Support | 6 | * | * | * | * | * | | 5.4 | Draft Report Issued |
| 2416002 | Family Support | 6 | | | | | | | 0.0 | |
| 2416003 | Partnering / Procurement | 6 | * | * | * | | | | 0.0 | Commenced |
| 2416004 | Education Welfare | 6 | * | | | | | | 0.0 | Pre Audit Meeting |
| 2416005 | Safeguarding | 10 | * | * | * | | | | 0.0 | Commenced |
| 2516001 | Financial Management Other | 5 | | | | | | | 0.0 | |
| | Total Audit Days for Education & Children | 90 | | | | | | | 25.6 | |
| Grants | | | | | | | | | | |
| | | | | | | | | | | |
| 3116001 | Physical Regeneration | 10 | | | | | | | 0.0 | |
| 3116002 | Business Development | 5 | | | | | | | 0.0 | |
| 3116003 | Community Funding | 8 | | | | | | | 0.0 | |
| 3216001 | Departmental Grants | 15 | * | * | * | * | * | * | 15.0 | Complete |
| 3216002 | Foundation Stage | 6 | N/A | N/A | N/A | N/A | N/A | N/A | 6.0 | Complete |
| 3216003 | DCELLS Post 16 | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 3216004 | Bus operators Grant | 5 | * | * | * | | | | 0.0 | Commenced |
| 3216005 | Supporting People | 15 | * | * | * | * | * | | 13.5 | Draft Report Issued |
| 3216006 | Education - EIG - Q1 Audit | 5 | N/A | N/A | N/A | N/A | N/A | N/A | 5.0 | Complete |
| 3216007 | Education - EIG - Q2 Audit | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 3216008 | Education - EIG - Q3 Audit | 5 | * | * | * | * | * | | 4.5 | Draft Report Issued |
| 3216009 | Education - EIG - Q4 Audit | 5 | | | | | | | 0.0 | |
| 3216010 | Education - EIG - Final Annual Audit | 5 | | | | | | | 0.0 | |
| 3216011 | Education - PDG | 15 | * | * | * | * | * | * | 15.0 | Complete |
| 3316001 | Financial Management Other | 5 | * | * | * | * | * | | 4.5 | Draft Report Issued |
| | Total Audit Days for Grants | 114 | | | | | | | 73.5 | |

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| Job No | Departments | Days Planned | Pre. Audit Meeting | Terms of Reference Issued | Commenced | Field Work Complete | Draft Report Issued | Final Report Issued | Days to Date | Status |
| Corporate Services | | | | | | | | | | |
| 4116001 | Risk Management | 10 | | | | | | | 0.0 | |
| 4216001 | Main Accounting | 15 | * | * | * | * | | | 11.3 | Field Work Complete |
| 4216002 | VAT | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 4216003 | Capital Accounting incl.Fixed Asset Register | 15 | | | | | | | 0.0 | |
| 4216004 | Treasury Management | 7 | | | | | | | 0.0 | |
| 4216005 | Investments | 7 | | | | | | | 0.0 | |
| 4216006 | Pensions Payroll System | 8 | * | * | * | * | * | * | 8.0 | Complete |
| 4216007 | Housing Benefits | 10 | | | | | | | 0.0 | |
| 4216008 | Council Tax | 10 | | | | | | | 0.0 | |
| 4216009 | NNDR | 10 | | | | | | | 0.0 | |
| 4216010 | Payroll System | 22 | * | * | * | * | * | * | 22.0 | Complete |
| 4216011 | Creditor Payments | 20 | | | | | | | 0.0 | |
| 4216012 | Debtors System | 20 | | | | | | | 0.0 | |
| 4216013 | Cash Receipting | 8 | | | | | | | 0.0 | |
| 4216014 | Banking | 8 | | | | | | | 0.0 | |
| 4216015 | Travel & Subsistence System | 10 | | | | | | | 0.0 | |
| 4216016 | Trust Funds | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 4316001 | Financial Management Other | 5 | | | | | | | 0.0 | |
| Total Audit Days for Corporate Services | | 203 | | | | | | | 58.45 | |
| Corporate Property | | | | | | | | | | |
| | Property Management | 8 | | | | | | | 0.0 | |
| | Estate Management | 8 | | | | | | | 0.0 | |
| | Provision / livestock markets | 8 | | | | | | | 0.0 | |
| Total Audit Days for Corporate Property | | 24 | | | | | | | 0 | |
| Communities | | | | | | | | | | |
| 5116001 | Disability/Adaptations/Renewals/ARBED | 10 | * | * | * | | | | 0.0 | Commenced |
| 5116002 | Houses for Homes | 8 | * | * | * | * | * | * | 8.0 | Complete |
| 5116003 | Tenancy Mgt | 8 | * | | | | | | 0.0 | Pre Audit Meeting |
| 5116004 | Voids | 8 | | | | | | | 0.0 | |
| 5116005 | Homelessness | 8 | * | | | | | | 0.0 | Pre Audit Meeting |
| 5116006 | Rents | 8 | * | * | * | * | * | * | 8.0 | Complete |
| 5116007 | HRA | 8 | * | * | * | * | * | * | 6.0 | Field Work Complete |
| 5216001 | Contract Management/Partnerships | 10 | | | | | | | 0.0 | |
| 5216002 | Direct Payments | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 5216003 | Home Care | 10 | * | * | * | * | * | * | 7.5 | Field Work Complete |
| 5216004 | Residential Care Authority & Private Homes | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 5216005 | Day Care | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 5216006 | Learning Disabilities | 7 | * | * | * | * | * | * | 6.3 | Draft Report Issued |
| 5216007 | Transport | 8 | * | * | * | * | * | * | 8.0 | Complete |
| 5216008 | Safeguarding | 10 | | | | | | | 0.0 | |
| 5216009 | Supporting People | 8 | * | * | * | * | * | * | 7.2 | Draft Report Issued |
| 5316001 | Public Health / Protection | 6 | * | * | * | * | * | * | 5.4 | Draft Report Issued |
| 5416001 | Arts Development | 5 | * | * | * | * | * | * | 3.8 | Field Work Complete |
| 5416002 | Cultural: Oriel Myrddin | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 5416003 | Heritage Services | 6 | | | | | | | 0.0 | |
| 5416004 | Libraries | 6 | * | * | | | | | 0.0 | Terms of Reference |
| 5516001 | Amman Valley | 5 | * | * | * | * | * | * | 3.8 | Field Work Complete |
| 5516002 | Carmarthen | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 5516003 | Llanelli | 5 | | | | | | | 0.0 | |
| 5516004 | East Area Leisure / NERS / Marketing | 20 | * | | | | | | 0.0 | Pre Audit Meeting |
| 5516005 | Arrangements for Leisure Trust Status (changed to Deputyships) | 5 | | | | | | | 0.0 | |
| 5516006 | Partnerships | 5 | * | * | | | | | 0.0 | Terms of Reference |
| 5516007 | Pembrey Country Park / MCP / Country Parks | 15 | | | | | | | 0.0 | |
| 5516008 | Ski Centre | 5 | | | | | | | 0.0 | |
| 5516009 | Burry Port Harbour | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 5616001 | Financial Management Other (Use for Deputyships) | 5 | | | | | | | 0.0 | |
| Total Audit Days for Communities | | 244 | | | | | | | 108.9 | |

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| Job No | Departments | Days Planned | Pre. Audit Meeting | Terms of Reference Issued | Commenced | Field Work Complete | Draft Report Issued | Final Report Issued | Days to Date | Status |
| Environmental Services | | | | | | | | | | |
| 6116001 | Building Maintenance | 10 | | | | | | | 0.0 | |
| 6116002 | Procurement | 5 | * | * | * | * | | | 3.8 | Field Work Complete |
| 6116003 | Grounds Maintenance | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 6116004 | Urban Parks | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 6216001 | Highway Maintenance (incl. Trunk Roads) | 8 | | | | | | | 0.0 | |
| 6216002 | Waste Services | 8 | | | | | | | 0.0 | |
| 6216003 | Trade Waste | 5 | * | * | * | | | | 0.0 | Commenced |
| 6316001 | Public transport | 7 | | | | | | | 0.0 | |
| 6316002 | School & College Transport | 5 | | | | | | | 0.0 | |
| 6316003 | Fleet/Plant Management | 7 | | | | | | | 0.0 | |
| 6316004 | Traffic Management | 7 | * | * | * | * | * | * | 7.0 | Complete |
| 6316005 | Road Safety | 7 | * | * | * | * | * | * | 7.0 | Complete |
| 6416001 | Development Control | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 6416002 | Building Control | 5 | * | * | * | * | * | * | 5.0 | Complete |
| 6516001 | Financial Management Other | 5 | | | | | | | 0.0 | |
| Total Audit Days for Environmental Services | | 100 | | | | | | | 42.15 | |
| Procurement / Contracts | | | | | | | | | | |
| 6616001 | Departmental Procurement Revenue Contracts | 7 | | | | | | | 0.0 | |
| 6616002 | Corporate Procurement | 15 | * | * | * | * | | | 11.3 | Field Work Complete |
| 6616003 | Asset Management | 15 | * | * | * | * | | | 11.3 | Field Work Complete |
| 6616004 | Framework contracts | 15 | * | * | * | * | | | 11.3 | Field Work Complete |
| 6616005 | Specific Projects | 18 | * | * | * | * | * | | 16.2 | Draft Report Issued |
| 6616006 | Capital Maintenance | 10 | * | * | * | * | | | 7.5 | Field Work Complete |
| 6616007 | MEP & sample of specific projects / post contracts | 15 | * | * | * | * | | | 0.0 | Commenced |
| 6616008 | Post Contract | 10 | * | * | * | | | | 0.0 | Commenced |
| 6716001 | Financial Management Other | 5 | | | | | | | 0.0 | |
| Total Audit Days for Procurement / Contracts | | 110 | | | | | | | 57.45 | |
| Computer Audit | | | | | | | | | | |
| 4416001 | Security of Information | 15 | * | * | * | * | * | | 13.5 | Draft Report Issued |
| 4416002 | Operating Systems | 15 | * | * | * | | | | 0.0 | Commenced |
| 4416003 | Social Media | 5 | | | | | | | 0.0 | |
| 4416004 | Internet Security | 10 | * | * | * | * | | | 7.5 | Field Work Complete |
| 4416005 | Licensing | 10 | * | * | * | * | | | 0.0 | Commenced |
| 4416006 | Communications | 10 | * | * | * | * | | | 7.5 | Field Work Complete |
| 4416007 | Computer Assisted Audit Testing(CAATs) | 25 | * | * | * | * | * | * | 25.0 | Complete |
| 4416008 | - Agresso Developments | 8 | * | * | * | * | * | | 7.2 | Draft Report Issued |
| 4416009 | - Resource Link | 10 | * | * | * | * | * | * | 10.0 | Complete |
| 4416010 | - Payment Cards | 5 | | | | | | | 0.0 | |
| 4416011 | - Education & Children Services | 12 | * | * | * | * | * | | 10.8 | Draft Report Issued |
| 4416012 | Social Care & Housing | 12 | * | * | * | * | * | * | 12.0 | Complete |
| 4416013 | Other Systems - Total Mobile | 3 | | | | | | | 0.0 | |
| 4516001 | Financial Management Other | 5 | | | | | | | 0.0 | |
| Total Audit Days for Computer Audit | | 145 | | | | | | | 93.5 | |

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| Job No | Departments | Days Planned | Pre. Audit Meeting | Terms of Reference Issued | Commenced | Field Work Complete | Draft Report Issued | Final Report Issued | Days to Date | Status |
| School Audits | | | | | | | | | | |
| Primary Schools | | | | | | | | | | |
| 2616001 | Meithryn Rhydaman | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616002 | Cefneithin C.P. | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616003 | Llechyfedach C.P. School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616004 | Ysgol Gynradd Gorslas | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616005 | Ysgol Gynradd Ponthenri | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616006 | Bancyfelin C.P. School | 3 | | | | | | | 0.0 | |
| 2616007 | Meidrim C.P. School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616008 | Ysgol Gynradd Llanedi | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616009 | Ysgol Gynradd Ffairfach | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616010 | Ysgol Gynradd Llanwrda | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616011 | Ysgol Gynradd Bro Brynach | 3 | | | | | | | 0.0 | |
| 2616012 | Ysgol G. Llanpumsaint | 3 | | | | | | | 0.0 | |
| 2616013 | Ysgol G. Mynyddygarreg | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616014 | Johnstown C.P. School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616015 | Ysgol Gynradd Bynea | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616016 | Dafen C.P. School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616017 | Llangennech Infants School | 3 | | | | | | | 0.0 | |
| 2616018 | Furnace C.P. School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616019 | Copperworks Infant & Nursery School | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616020 | Maes y Morfa | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616021 | Old Road C.P. Primary School | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616022 | Ysgol Llanstephan | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616023 | Ysgol Gynradd Llannon | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616024 | Myrddin C.P. School | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616025 | Swiss Valley C.P. School. | 3 | | | | | | | 0.0 | |
| 2616026 | Ysgol Gymraeg Rhydaman | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616027 | Llandybie C.P. School | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616028 | Ysgol Llanybydder | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616029 | Burry Port Community School | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616030 | Ysgol Wirfoddol Abergwili | 3 | | | | | | | 0.0 | |
| 2616031 | Tremoilet V.C.P. | 3 | * | * | * | * | * | * | 2.7 | Draft Report Issued |
| 2616032 | Laugharne V.C.P. School | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616033 | Ys Gynradd Wirfoddol Llanddarog | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616034 | Ysgol Gynradd Wirfoddol Llanllwni | 3 | * | * | * | * | * | * | 3.0 | Complete |
| 2616035 | Ysgol Wirfoddol Penboyr | 3 | | | | | | | 0.0 | |
| Primary Schools Totals | | 105 | | | | | | | 80.1 | |
| Secondary Schools | | | | | | | | | | |
| 2716001 | Glanymor | 7 | | | | | | | 0.0 | |
| 2716002 | Strade | 7 | * | * | * | * | * | * | 6.3 | Draft Report Issued |
| 2716003 | Bryngwyn | 7 | | | | | | | 0.0 | |
| 2716004 | Maesygwendraeth | 7 | * | * | * | * | * | * | 6.3 | Draft Report Issued |
| 2716005 | QE High School | 7 | * | * | * | * | * | * | 6.3 | Draft Report Issued |
| Secondary Schools Totals | | 35 | | | | | | | 18.9 | |
| Special Schools | | | | | | | | | | |
| 2816001 | Rhydygors | 7 | | | | | | | 0.0 | |
| 2816002 | Heol Goffa | 7 | * | * | * | * | * | * | 7.0 | Complete |
| Special Schools Totals | | 14 | | | | | | | 7 | |
| Total Audit Days for Schools | | 154 | | | | | | | 106 | |
| Total Approved Plan Days | | 1260 | | | | | | | 603.75 | |