

INTERNAL AUDIT PLAN 2018/19										
2018/19	% Plan Completion to Date	31.8%		% Target November 2018						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									
1118001	Annual Governance Statement	11	*	N/A	*	*	*		9.9	Draft Report Issued
1118002	PMP Function - Recruitment / Safer Recruitment DBS	8	*	*	*	*			6.0	Field Work Complete
1118003	Ethics	15							0.0	
1118004	Performance Management	8	*	*	*	*	*	*	8.0	Complete
1118005	Whistleblowing	5	*	*	*	*			3.8	Field Work Complete
1118006	Financial Management Other	5	*	*	*	*	*	*	5.0	Complete
	Total Audit Days for Department	52							32.65	
	Information & Communications Audit									
2118001	Computer Assisted Audit Testing(CAATs)	25	*	*	*				0.0	Commenced
2118002	Resource Link	10							0.0	
2118003	Agresso	5							0.0	
2118004	Pensions	6	*	*	*	*	*	*	6.0	Complete
2118005	Revenues/ Benefits / DIPS	8	*	*	*				0.0	Commenced
2118006	Education & Children Services Systems	10							0.0	
2118007	Communities Systems	15							0.0	
2118008	Environment Systems	15							0.0	
2118009	IT Procurement	10	*	*	*	*			7.5	Field Work Complete
2118010	Cloud Computing	10							0.0	
2118011	Collaborative Working	10							0.0	
2118012	Digital Transformation / Agile Working / Information	20							0.0	
2118013	Financial Management Other	6							0.0	
	Total Days Computer Audits	150							13.5	
	Regeneration & Policy									
3118001	Customer Services	10	*	*					0.0	Terms of Reference
3118002	Press Office / Communication	10	*						0.0	Pre Audit Meeting
3118003	Modern Records	10							0.0	
3118004	Property & Estate Management	15							0.0	
3118005	New Funding Programmes (eg ESI)	10	*	*	*	*	*	*	9.0	Draft Report Issued

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3118006	City Deal	10							0.0	
3118007	Wellness Centre	10							0.0	
3118008	Corporate Plan / Business Plans	10	*	*	*	*	*	*	10.0	Complete
3118009	Regeneration Strand 1	10	*						0.0	Pre Audit Meeting
3118010	Regeneration Strand 2	8	*	*	*				0.0	Commenced
3118011	Regeneration Strand 3	8	*	*	*	*	*		7.2	Draft Report Issued
3118012	Regeneration Strand 4	10	*						0.0	Pre Audit Meeting
3118013	Complaints	10	*	*	*	*	*		9.0	Draft Report Issued
3118014	Data Protection	10	*	*	*				0.0	Commenced
3118015	Financial Management Other	5							0.0	
	Grants									
3118016	R&P Third Party Grants	10	*	*	*	*			7.5	Field Work Complete
	Total Audit Days for Department	156							42.7	
	Education & Children									
	School Improvement									
4118001	ERW inc arrangements for EIG & PDG	10							0.0	
	Education Services									
4118002	Challenge Advisors	10							0.0	
4118003	School Improvement	10							0.0	
	Strategic Development									
4118004	Information & Improvement	10							0.0	
4118005	Business Support	10							0.0	
	Curriculum & Well being									
4118006	Education Other Than At School (EOTAS)	5							0.0	
4118007	Families First Grant (Youth)	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4118008	School Consultants	10							0.0	
4118009	Learning Transformation - eg Cynnydd, Cam Nesa	10							0.0	
	Children's Services									
4118010	Corporate Parenting	10	*	*	*				0.0	Commenced
4118011	Family Support	5	*						0.0	Pre Audit Meeting
4118012	Safeguarding	10							0.0	
4118013	Financial Management Other	5	N/A	N/A	*	*	*	*	5.0	Complete
	Schools:									

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4118014	Schools DBS	5	*	*	*	*	*		4.5	Draft Report Issued
4118015	Schools Recruitment & Teachers salaries	10	*	*	*	*			7.5	Field Work Complete
4118016	Schools - Monitoring deficits & surpluses	10	*						0.0	Pre Audit Meeting
4118017	School Meals, Free Meals & Primary Free Breakfast Services	10	*	*	*	*	*		9.0	Draft Report Issued
4118018	Schools Questionnaires Q1	8	N/A	N/A	*	*	N/A	N/A	8.0	Complete
4118033	Schools Questionnaires Q2	6	N/A	N/A	*	*	N/A	N/A	6.0	Complete
4118034	Schools Questionnaires Q3	8	N/A	N/A	*				0.0	Commenced
4118035	Schools Questionnaires Q4	8	N/A	N/A	*				0.0	Commenced
4118019	School visits Q1	8	N/A	N/A	*	*			6.0	Field Work Complete
4118036	School visits Q2	6	N/A	N/A					0.0	Terms of Reference
4118037	School visits Q3	8	N/A	N/A					0.0	Terms of Reference
4118038	School visits Q4	8	N/A	N/A					0.0	Terms of Reference
	Grants									
4118020	Post 16	8							0.0	
4118021	Education - EIG - Final Annual Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118022	Education - EIG - Q1 Audit	10	N/A	N/A	*	*	*	*	10.0	Complete
4118023	Education - EIG - Q2 Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118024	Education - EIG - Q3 Audit	5							0.0	
4118025	Education - EIG - Q4 Audit	5							0.0	
4118026	Education - PDG - Final Annual Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118027	Education - PDG - Q1	8							0.0	
4118028	Education - PDG - Q2	5							0.0	
4118029	Education - PDG - Q3	5							0.0	
4118030	Education - PDG - Q4	5							0.0	
4118031	14 to 19 Learning Pathways	10	N/A	N/A	N/A	N/A	N/A	N/A	10.0	Complete
4118032	Youth Work Strategy Grant	10	N/A	N/A	N/A	N/A	N/A	N/A	10.0	Complete
	Total Audit Days for Department	291							96	
	Corporate Services									
5118001	Budget Setting / Delivery of Efficiencies	10	*	*	*				0.0	Commenced
5118002	VAT	8							0.0	
5118003	Treasury Management - Loans	5	*	*					0.0	Terms of Reference
5118004	Housing Benefits	10							0.0	

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5118005	Payroll System	15	*	*	*	*			11.3	Field Work Complete
5118006	Creditor Payments	15							0.0	
5118007	Debtors System	15	*	*	*	*			11.3	Field Work Complete
5118008	Cash & Bank	10							0.0	
5118009	Travel & Subsistence System	10	*	*	*				0.0	Commenced
5118010	Deputyships	15	*	*	*	*	*		13.5	Draft Report Issued
5118011	Trust Funds	15	*	*	*	*			11.3	Field Work Complete
5118012	Burry Port Harbour - Accounts Return for WAO	8	*	*	*	*	*	*	8.0	Complete
5118013	Financial Management Other	5	*	N/A	*	*	*	*	5.0	Complete
	Total Audit Days for Department	141							60.3	
	Communities									
6118001	Home Care	10							0.0	
6118002	Residential Care Authority & Private Homes Q1	3	N/A	*	*	*	N/A	N/A	3.0	Complete
6118023	Residential Care Authority & Private Homes Q2	3	N/A	*	*	*	N/A	N/A	3.0	
6118024	Residential Care Authority & Private Homes Q3	2	N/A	*	*				0.0	
6118025	Residential Care Authority & Private Homes Q4	2	N/A						0.0	
6118003	Supported Living	10							0.0	
6118004	Learning Disabilities	5	N/A	*	*	*	N/A	N/A	5.0	Complete
6118005	Safeguarding	10							0.0	
6118006	Affordable Homes	10	*	*	*	*	*		9.0	Draft Report Issued
6118007	Licensing and other fees	10	*	*	*	*	*	*	10.0	Complete
6118008	Museums	10	*	*	*	*	*	*	10.0	Complete
6118009	Libraries	10	*	*	*	*	*	*	10.0	Complete
6118010	Amman Valley Leisure Centre	7							0.0	
6118011	Carmarthen Leisure Centre	9							0.0	
6118012	Llanelli Leisure Centre	9							0.0	
6118013	Pembrey Country Park / MCP / Country Parks	10							0.0	
6118014	Ski Centre	10							0.0	
6118015	Theatres	8	*	*	*	*			6.0	Field Work Complete
6118016	South Area Leisure / Education & Workforce	8	*						0.0	Pre Audit Meeting
6118017	Pendine Outdoor Education Centre	8	*	*					0.0	Terms of Reference
6118018	Llesiant Delta Wellbeing Ltd - LATC	20							0.0	

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6118019	Housing Company	20							0.0	
6118020	Financial Management Other	5	*	*	*	*		*	5.0	Complete
6118026	LC Memberships	3							0.0	
	Grants									
6118021	Supporting People	15	*	*	*	*	*	*	15.0	Complete
6118022	Communities	10	*	*	*	*	*	*	10.0	Complete
	Total Audit Days for Department	227							86	
	Environment									
	Property:									
7118001	Property Maintenance	15							0.0	
7118002	Property & Estate Management (sale of assets)	15							0.0	
7118003	Energy Strategy	10							0.0	
	Waste and Environment:									
7118004	Grounds Maintenance	10	*	*	*	*	*	*	9.0	Draft Report Issued
7118005	Cleansing Services	10	*	*	*	*	*	*	9.0	Draft Report Issued
	Highways and Transport:									
7118006	Highway Maintenance (incl. Trunk Roads)	10							0.0	
7118007	Other Streetwork	10	*	*	*	*	*	*	9.0	Draft Report Issued
7118008	Street lighting	10	*	*	*	*	*	*	10.0	Complete
7118009	Parking Inc. Enforcement	8	*	*	*	*	*	*	8.0	Complete
	Planning Services:									
7118010	Local Development Plan	10							0.0	
	Policy & Development Departmental:									
7118011	Management Systems - Total	10							0.0	
7118012	Financial Management Other	5							0.0	
	Grants									
7118013	Environment Departmental Grants	20							0.0	
	Total Audit Days for Department	143							45.0	

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	Procurement / Contracts									
8118001	Framework contracts	15	*	*	*				0.0	Commenced
8118002	Specific Projects (new and post contact review)	20	*	*	*	*	*		18.0	Draft Report Issued
8118003	Departmental Contract Management	20							0.0	
8118004	Community Benefits	10							0.0	
8118005	Category Management	10							0.0	
8118006	Financial Management Other	5							0.0	
	Total Audit Days for Department	80							18	
	Total Approved Plan Days	1240	% Complete to Date			31.8%			394.1	
	Mid & West Wales Fire Authority									
9118001		5							0.0	
9118002		5							0.0	
9118003		3							0.0	
9118004		2							0.0	
9218001		5	*	*	*				0.0	Commenced
9218002		5	*	*	*	*	*	*	5.0	Complete
9218003		5							0.0	
9218004		12							0.0	
9218005		6							0.0	
9218006		8	*	*	*				0.0	Commenced
9218007		5							0.0	
9218008		8							0.0	
9218009		1							0.0	
9218010		5							0.0	
9218011		10							0.0	
9218012		10							0.0	
	Total Audit Days for Department	95	% Complete to Date			5.3%			5.0	

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Additional Work Not Included in Original Plan										
2118014	Ceredigion IT	15	*	*	*				0.0	Commenced
1118007	Ceredigion Ethics	15							0.0	
5118014	Wales Pension Partnership	8	*	N/A	*	*	*	*	8.0	Complete
9018032	Financial Grant	10	*	*	*	*	*	*	10.0	Complete
	Total Additional Work	143			% Complete to Date		16.1%		23.0	
	Total Audit Plan Time	1383			% Complete to Date		30.2%		417.1	
	Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days						33.6%			