

| INTERNAL AUDIT PLAN 2018/19 |  |                           | REPORTING        |                  |                  |                  |           |      |      |       |                   |
|-----------------------------|--|---------------------------|------------------|------------------|------------------|------------------|-----------|------|------|-------|-------------------|
| 2018/19                     |  |                           | Issues           |                  |                  |                  | Reporting |      |      |       |                   |
| Job No                      | Departments  | Status                    | No. of 3+ Issues | No. of 2+ Issues | No. of 1+ Issues | Total No. Issues | 3*=5      | 2*=3 | 1*=1 | Score | Assurance Level   |
|                             | <b>Chief Executive</b>                                     |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 1118001                     | Annual Governance Statement                                | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 1118002                     | PMP Function - Recruitment / Safer Recruitment DBS         | Field Work Complete       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 1118003                     | Ethics   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 1118004                     | Gosod Syml   | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 1118005                     | Whistleblowing   | Field Work Complete       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 1118006                     | Rent Smart Wales   | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
|                             | <b>Total Audit Days for Department</b>                     |                           |                  |                  |                  |                  |           |      |      |       |                   |
|                             | <b>Information &amp; Communications Audit</b>              |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 2118001                     | Computer Assisted Audit Testing(CAATs)                     | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118002                     | Resource Link  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118003                     | Agresso  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118004                     | Pensions   | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | High              |
| 2118005                     | Revenues/ Benefits / DIPS                                  | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118006                     | Education & Children Services Systems                      |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118007                     | Communities Systems  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118008                     | Environment Systems  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118009                     | IT Procurement   | Field Work Complete       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118010                     | Cloud Computing  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118011                     | Data Protection  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118012                     | Digital Transformation / Agile Working / Information       |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 2118013                     | Financial Management Other                                 |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Total Days Computer Audits</b>                          |                           |                  |                  |                  |                  |           |      |      |       |                   |
|                             | <b>Regeneration &amp; Policy</b>                           |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 3118001                     | Customer Services  | Terms of Reference Issued |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118002                     | Press Office / Communication                               | Pre Audit Meeting         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118003                     | Modern Records   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118004                     | Property & Estate Management                               |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118005                     | New Funding Programmes (eg ESI)                            | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118006                     | City Deal  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118007                     | Wellness Centre  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118008                     | Corporate Plan / Business Plans                            | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | N/A               |
| 3118009                     | Regeneration Strand 1                                      | Pre Audit Meeting         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118010                     | Regeneration Strand 2                                      | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118011                     | Regeneration Strand 3                                      | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118012                     | Regeneration Strand 4                                      | Pre Audit Meeting         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118013                     | Complaints   | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118014                     | Data Protection  | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 3118015                     | Financial Management Other                                 |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Grants</b>  |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 3118016                     | R&P Third Party Grants                                     |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Total Audit Days for Department</b>                     |                           |                  |                  |                  |                  |           |      |      |       |                   |
|                             | <b>Education &amp; Children</b>                            |                           |                  |                  |                  |                  |           |      |      |       |                   |
|                             | <b>School Improvement</b>                                  |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118001                     | ERW inc arrangements for EIG & PDG                         |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Education Services</b>                                  |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118002                     | Challenge Advisors   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118003                     | School Improvement   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Strategic Development</b>                               |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118004                     | Information & Improvement                                  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118005                     | Business Support   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Curriculum &amp; Well being</b>                         |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118006                     | Education Other Than At School (EOTAS)                     |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118007                     | Families First Grant (Youth)                               | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118008                     | School Consultants   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118009                     | Learning Transformation - eg Cynnydd, Cam Nesa             |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Children's Services</b>                                 |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118010                     | Corporate Parenting  | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118011                     | Family Support   | Pre Audit Meeting         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118012                     | Safeguarding   |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118013                     | Welsh For Adults   | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
|                             | <b>Schools:</b>  |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118014                     | Schools DBS  | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118015                     | Schools Recruitment & Teachers salaries                    | Field Work Complete       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118016                     | Schools - Monitoring deficits & surpluses                  | Pre Audit Meeting         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118017                     | School Meals, Free Meals & Primary Free Breakfast Services | Draft Report Issued       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118018                     | Schools Questionnaires Q1                                  | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | N/A               |
| 4118033                     | Schools Questionnaires Q2                                  | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | N/A               |
| 4118034                     | Schools Questionnaires Q3                                  | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118035                     | Schools Questionnaires Q4                                  | Commenced                 |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118019                     | School visits Q1   | Field Work Complete       |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118036                     | School visits Q2   | Term of Reference         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118037                     | School visits Q3   | Term of Reference         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118038                     | School visits Q4   | Term of Reference         |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             | <b>Grants</b>  |                           |                  |                  |                  |                  |           |      |      |       |                   |
| 4118020                     | Post 16  |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118021                     | Education - EIG - Final Annual Audit                       | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118022                     | Education - EIG - Q1 Audit                                 | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118023                     | Education - EIG - Q2 Audit                                 | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118024                     | Education - EIG - Q3 Audit                                 |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118025                     | Education - EIG - Q4 Audit                                 |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118026                     | Education - PDG - Final Annual Audit                       | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118027                     | Education - PDG - Q1                                       |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118028                     | Education - PDG - Q2                                       |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118029                     | Education - PDG - Q3                                       |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118030                     | Education - PDG - Q4                                       |                           |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 4118031                     | 14 to 19 Learning Pathways                                 | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 4118032                     | Youth Work Strategy Grant                                  | Complete                  | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |

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|-----------------------------|---|---------------------|------------------|------------------|------------------|------------------|------|------|------|-------|-------------------|
| 2018/19                     |   |                     | Issues           |                  |                  |                  | 3*=5 | 2*=3 | 1*=1 | Score | Assurance Level   |
| Job No                      | Departments                                     | Status              | No. of 3* Issues | No. of 2* Issues | No. of 1* Issues | Total No. Issues |      |      |      |       |                   |
|                             | <b>Total Audit Days for Department</b>          |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Corporate Services</b>                       |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 5118001                     | Budget Setting / Delivery of Efficiencies       | Commenced           |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118002                     | VAT   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118003                     | Treasury Management - Loans                     | Terms of Reference  |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118004                     | Housing Benefits                                |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118005                     | Payroll System                                  | Field Work Complete |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118006                     | Creditor Payments                               |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118007                     | Debtors System                                  | Field Work Complete |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118008                     | Cash & Bank                                     |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118009                     | Travel & Subsistence System                     | Commenced           |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118010                     | Deputyships                                     | Draft Report Issued |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118011                     | Trust Funds                                     | Field Work Complete |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 5118012                     | Burry Port Harbour - Accounts Return for WAO    | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
| 5118013                     | Financial Management Other                      | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
|                             | <b>Total Audit Days for Department</b>          |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Communities</b>                              |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 6118001                     | Home Care                                       |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118002                     | Residential Care Authority & Private Homes Q1   | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | N/A               |
| 6118023                     | Residential Care Authority & Private Homes Q2   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118024                     | Residential Care Authority & Private Homes Q3   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118025                     | Residential Care Authority & Private Homes Q4   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118003                     | Supported Living                                |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118004                     | Learning Disabilities                           | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
| 6118005                     | Safeguarding                                    |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118006                     | Affordable Homes                                | Draft Report Issued |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118007                     | Licensing and other fees                        | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | High              |
| 6118008                     | Museums   | Complete            | 0                | 3                | 0                | 3                | 0    | 9    | 0    | 9     | Acceptable        |
| 6118009                     | Libraries                                       | Complete            | 0                | 2                | 1                | 3                | 0    | 6    | 1    | 7     | Acceptable        |
| 6118010                     | Amman Valley Leisure Centre                     |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118011                     | Carmarthen Leisure Centre                       |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118012                     | Llanelli Leisure Centre                         |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118013                     | Pembrey Country Park / MCP / Country Parks      |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118014                     | Ski Centre                                      |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118015                     | Theatres  | Commenced           |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118016                     | South Area Leisure / Education & Workforce      | Pre Audit Meeting   |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118017                     | Pendine Outdoor Education Centre                | Terms of Reference  |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118018                     | Llesiant Delta Wellbeing Ltd - LATC             |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118019                     | Housing Company                                 |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 6118020                     | SP Financials                                   | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
|                             | <b>Grants</b>                                   |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 6118021                     | Supporting People                               | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
| 6118022                     | Communities                                     | Complete            | 0                | 0                | 0                | 0                | 0    | 0    | 0    | 0     | Grant Certificate |
|                             | <b>Total Audit Days for Department</b>          |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Environment</b>                              |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Property:</b>                                |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118001                     | Property Maintenance                            |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118002                     | Property & Estate Management (sale of assets)   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118003                     | Energy Strategy                                 |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Waste and Environment:</b>                   |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118004                     | Grounds Maintenance                             | Draft Report Issued |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118005                     | Cleansing Services                              | Draft Report Issued |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Highways and Transport:</b>                  |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118006                     | Highway Maintenance (incl. Trunk Roads)         |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118007                     | Other Streetwork                                | Field Work Complete |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118008                     | Street lighting                                 | Complete            | 0                | 0                | 1                | 1                | 0    | 0    | 1    | 1     | High              |
| 7118009                     | Parking Inc. Enforcement                        | Complete            | 0                | 0                | 1                | 1                | 0    | 0    | 1    | 1     | High              |
|                             | <b>Planning Services:</b>                       |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118010                     | Local Development Plan                          |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Policy &amp; Development Departmental:</b>   |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118011                     | Management Systems - Total                      |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 7118012                     | Financial Management Other                      |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Grants</b>                                   |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 7118013                     | Environment Departmental Grants                 |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Total Audit Days for Department</b>          |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Procurement / Contracts</b>                  |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 8118001                     | Framework contracts                             | Commenced           |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 8118002                     | Specific Projects (new and post contact review) | Draft Report Issued |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 8118003                     | Departmental Contract Management                |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 8118004                     | Community Benefits                              |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 8118005                     | Category Management                             |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 8118006                     | Financial Management Other                      |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
|                             | <b>Total Audit Days for Department</b>          |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Total Approved Plan Days</b>                 |                     |                  |                  |                  |                  |      |      |      |       |                   |
|                             | <b>Fire</b>                                     |                     |                  |                  |                  |                  |      |      |      |       |                   |
| 9118001                     |   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 9118002                     |   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |
| 9118003                     |   |                     |                  |                  |                  | 0                | 0    | 0    | 0    | 0     |                   |

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| 2018/19                     |                           |  | Issues           |                  |                  |                  | REPORTING |      |      |       |                   |
| Job No                      | Departments               | Status   | No. of 3* Issues | No. of 2* Issues | No. of 1* Issues | Total No. Issues | 3*=5      | 2*=3 | 1*=1 | Score | Assurance Level   |
| 9118004                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218001                     |                           | Commenced  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218002                     |                           | Complete   |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218003                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218004                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218005                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218006                     |                           | Commenced  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218007                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218008                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218009                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218010                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218011                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 9218012                     |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             |                           |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
|                             |                           | <b>Total Audit Days for Department</b>   |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           | <b>Additional Work Not Included in Original Plan</b>                               |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
| 2118014                     | Ceredigion IT             | Commenced  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 1118007                     | Ceredigion Ethics         |  |                  |                  |                  | 0                | 0         | 0    | 0    | 0     |                   |
| 5118014                     | Wales Pension Partnership | Complete   | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | Grant Certificate |
| 9018032                     | Financial Grant Advice    | Complete   | 0                | 0                | 0                | 0                | 0         | 0    | 0    | 0     | N/A               |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           | <b>Total Additional Work</b>   |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           | <b>Total Audit Plan Time</b>   |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           | <b>Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days</b> |                  |                  |                  |                  |           |      |      |       |                   |
|                             |                           |  |                  |                  |                  |                  |           |      |      |       |                   |

| Assurance Level | Description for Assurance Level  | Scores   |
|-----------------|--|--|
| High            | Good controls consistently applied.<br>Low risk of not meeting objectives.<br>Low risk of fraud, negligence, loss, damage to reputation.   | 0 to 2   |
| Acceptable      | Moderate Controls, some areas of non-compliance with agreed controls.<br>Medium / low risk of not meeting objectives.<br>Medium / low risk of fraud, negligence, loss, damage to reputation. | 3 to 10 with no 3* recommendations               |
| Low             | Inadequate controls.<br>High Risk of not meeting objectives.<br>High risk of fraud, negligence, loss, damage to reputation.  | > 10 or including one or more 3* recommendations |