

INTERNAL AUDIT PLAN 2018/19										
2018/19	% Plan Completion to Date	65.5%			% Target February 2019					85.0%
Job No	Departments	Days Planned	Pre-Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Final Report / Grant Issued	Days to Date	Status
	Chief Executive									
1118001	Annual Governance Statement	11	*	N/A	*	*	*	*	11.0	Complete
1118002	PMP Function - Recruitment / Safer Recruitment DBS	8	*	*	*	*	*	*	7.2	Draft Report Issued
1118003	Ethics	15	*	*	*	*	*	*	0.0	Terms of Reference
1118004	Performance Management - Gosod Syml	8	*	*	*	*	*	*	8.0	Complete
1118005	Whistleblowing	5	*	*	*	*	*	*	4.5	Draft Report Issued
1118006	Financial Management Other - Rent Smart Wales	5	*	*	*	*	*	*	5.0	Complete
	Total Audit Days for Department	52							35.7	
	Information & Communications Audit									
2118001	Computer Assisted Audit Testing(CAATs)	25	*	*	*	*	*	*	25.0	Complete
2118002	Resource Link	10							0.0	
2118003	Agresso	5							0.0	
2118004	Pensions	6	*	*	*	*	*	*	6.0	Complete
2118005	Revenues/ Benefits / DIPS	8	*	*	*	*	*	*	7.2	Draft Report Issued
2118006	Education & Children Services Systems	10	*	*	*	*	*	*	0.0	Commenced
2118007	Communities Systems	15	*	*	*	*	*	*	0.0	Commenced
2118008	Environment Systems	15	*	*	*	*	*	*	15.0	Complete
2118009	IT Procurement	10	*	*	*	*	*	*	10.0	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	*	*	*	*	N/A	N/A	6.0	Complete
	Total Days Computer Audits	150							69.2	
	Regeneration & Policy									
3118001	Customer Services	10	*	*	*	*	*	*	9.0	Draft Report Issued
3118002	Press Office / Communication	10	*	*	*	*	*	*	0.0	Pre Audit Meeting
3118003	Modern Records	10	*	*	*	*	*	*	10.0	Complete
3118004	Property & Estate Management	15	*	*	*	*	*	*	11.3	Field Work Complete
3118005	New Funding Programmes (eg ESI)	10	*	*	*	*	*	*	10.0	Complete
3118006	City Deal	10	*	*	*	*	*	*	10.0	Complete
3118007	Wellness Centre	10	*	*	*	*	*	*	10.0	Complete
3118008	Corporate Plan / Business Plans	10	*	*	*	*	*	*	10.0	Complete
3118009	Regeneration Strand 1	10	*	*	*	*	*	*	0.0	Commenced
3118010	Regeneration Strand 2	8	*	*	*	*	*	*	8.0	Complete
3118011	Regeneration Strand 3	8	*	*	*	*	*	*	8.0	Complete
3118012	Regeneration Strand 4	10	*	*	*	*	*	*	0.0	Pre Audit Meeting
3118013	Complaints	10	*	*	*	*	*	*	10.0	Complete
3118014	Data Protection	10	*	*	*	*	*	*	0.0	Commenced
3118015	Financial Management Other	5	*	*	*	*	*	*	3.8	Field Work Complete
	Grants									
3118016	R&P Third Party Grants	10	*	*	*	*	*	*	10.0	Complete
	Total Audit Days for Department	156							110.0	
	Education & Children									
	School Improvement									
4118001	ERW inc arrangements for EIG & PDG	10	*	*	*	*	*	*	10.0	Complete
	Education Services									
4118002	Challenge Advisors	10	*	*	*	*	*	*	0.0	Commenced
4118003	School Improvement	10	*	*	*	*	*	*	0.0	Commenced
	Strategic Development									
4118004	Information & Improvement	10	*	*	*	*	*	*	0.0	
4118005	Business Support	10	*	*	*	*	*	*	0.0	Commenced
	Curriculum & Well being									
4118006	Education Other Than At School (EOTAS)	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
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	Commenced
4118009	Learning Transformation - eg Cynnydd, Cam Nesa	10	*	*	*	*	*	*	0.0	
	Children's Services									
4118010	Corporate Parenting	10	*	*	*	*	*	*	9.0	Draft Report Issued
4118011	Family Support	5	*	*	*	*	*	*	4.5	Draft Report Issued
4118012	Safeguarding	10	*	*	*	*	*	*	0.0	Commenced
4118013	Financial Management Other	5	N/A	N/A	*	*	*	*	5.0	Complete
	Schools:									
4118014	Schools DBS	5	*	*	*	*	*	*	5.0	Complete
4118015	Schools Recruitment & Teachers salaries	10	*	*	*	*	*	*	10.0	Complete
4118016	Schools - Monitoring deficits & surpluses	10	*	*	*	*	*	*	0.0	Terms of Reference
4118017	School Meals, Free Meals & Primary Free Breakfast Services	10	*	*	*	*	*	*	10.0	Complete
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	*	*	N/A	N/A	8.0	Complete
4118035	Schools Questionnaires Q4	8	N/A	N/A	*	*	*	*	6.0	Field Work Complete
4118019	School visits Q1	8	N/A	N/A	*	*	*	*	7.2	Draft Report Issued
4118036	School visits Q2	6	N/A	N/A	*	*	*	*	4.5	Field Work Complete
4118037	School visits Q3	8	N/A	N/A	*	*	*	*	6.0	Field Work Complete
4118038	School visits Q4	8	N/A	N/A	*	*	*	*	0.0	Terms of Reference
	Grants									
4118020	Post 16	8	N/A	N/A	*	*	*	*	8.0	Complete
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

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4118024	Education - EIG - Q3 Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118025	Education - EIG - Q4 Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118026	Education - PDG - Final Annual Audit	5	N/A	N/A	*	*	*	*	5.0	Complete
4118027	Education - PDG - Q1	8	N/A	N/A	*	*	*	*	8.0	Complete
4118028	Education - PDG - Q2	5	N/A	N/A	*	*	*	*	5.0	Complete
4118029	Education - PDG - Q3	5	N/A	N/A	*	*	*	*	5.0	Complete
4118030	Education - PDG - Q4	5	N/A	N/A	*	*	*	*	5.0	Complete
4118031	14 to 19 Learning Pathways	10	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	*	10.0	Complete
	Total Audit Days for Department	291							195.2	
Corporate Services										
5118001	Budget Setting / Delivery of Efficiencies	10	*	*	*	*	*	*	7.5	Field Work Complete
5118002	VAT	8	*	*	*	*	*	*	7.2	Draft Report Issued
5118003	Treasury Management - Loans	5	*	*	*	*	*	*	5.0	Complete
5118004	Housing Benefits	10	*	*	*	*	*	*	0.0	
5118005	Payroll System	15	*	*	*	*	*	*	15.0	Complete
5118006	Creditor Payments	15	*	*	*	*	*	*	0.0	Commenced
5118007	Debtors System	15	*	*	*	*	*	*	11.3	Field Work Complete
5118008	Cash & Bank	10	*	*	*	*	*	*	9.0	Draft Report Issued
5118009	Travel & Subsistence System	10	*	*	*	*	*	*	7.5	Field Work Complete
5118010	Deputyships	15	*	*	*	*	*	*	13.5	Draft Report Issued
5118011	Trust Funds	15	*	*	*	*	*	*	13.5	Draft Report Issued
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							102.5	
Communities										
6118001	Home Care	10	*	*	*	*	N/A	N/A	10.0	Complete
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	Complete
6118024	Residential Care Authority & Private Homes Q3	2	N/A	*	*	*	N/A	N/A	2.0	Complete
6118025	Residential Care Authority & Private Homes Q4	2	N/A	*	*	*	N/A	N/A	2.0	Complete
6118003	Supported Living	10	*	*	*	*	*	*	0.0	
6118004	Learning Disabilities	5	N/A	*	*	*	N/A	N/A	5.0	Complete
6118005	Safeguarding	10	*	*	*	*	*	*	10.0	Complete
6118006	Affordable Homes	10	*	*	*	*	*	*	10.0	Complete
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	*	*	*	*	*	*	5.3	Field Work Complete
6118011	Carmarthen Leisure Centre	9	*	*	*	*	*	*	6.8	Field Work Complete
6118012	Llanelli Leisure Centre	9	*	*	*	*	*	*	6.8	Field Work Complete
6118013	Pembrey Country Park / MCP / Country Parks	10	*	*	*	*	*	*	0.0	Commenced
6118014	Ski Centre	10	*	*	*	*	*	*	0.0	Commenced
6118015	Theatres	8	*	*	*	*	*	*	8.0	Complete
6118016	South Area Leisure / Education & Workforce	8	*	*	*	*	*	*	8.0	Complete
6118017	Pendine Outdoor Education Centre	8	*	*	*	*	*	*	7.2	Draft Report Issued
6118018	Liesiant Delta Wellbeing Ltd - LATC	20	*	*	*	*	*	*	0.0	Pre Audit Meeting
6118019	Housing Company	20	*	*	*	*	*	*	0.0	
6118020	Financial Management Other - SP Financials	5	*	*	*	*	*	*	5.0	Complete
6118026	LC Memberships	3	*	*	*	*	N/A	N/A	3.0	Complete
Grants										
6118021	Supporting People	15	*	*	*	*	*	*	15.0	Complete
6118022	Communities	10	*	*	*	*	*	*	10.0	Complete
	Total Audit Days for Department	227							149.95	
Environment										
Property:										
7118001	Property Maintenance	15	*	*	*	*	*	*	0.0	
7118002	Property & Estate Management (sale of assets)	15	*	*	*	*	*	*	0.0	Commenced
7118003	Energy Strategy	10	*	*	*	*	*	*	0.0	Commenced
Waste and Environment:										
7118004	Grounds Maintenance	10	*	*	*	*	*	*	10.0	Complete
7118005	Cleansing Services	10	*	*	*	*	*	*	10.0	Complete
Highways and Transport:										
7118006	Highway Maintenance (incl. Trunk Roads)	10	*	*	*	*	*	*	7.5	Field Work Complete
7118007	Other Streetwork	10	*	*	*	*	*	*	10.0	Complete
7118008	Street lighting	10	*	*	*	*	*	*	10.0	Complete
7118009	Parking Inc. Enforcement	8	*	*	*	*	*	*	8.0	Complete
Planning Services:										
7118010	Local Development Plan	10	*	*	*	*	*	*	0.0	Commenced
Policy & Development Departmental:										
7118011	Management Systems - Total	10	*	*	*	*	*	*	10.0	Complete
7118012	Financial Management Other	5	*	*	*	*	N/A	N/A	5.0	Complete
Grants										
7118013	Environment Departmental Grants	20	*	*	*	*	N/A	NA	20.0	Complete
	Total Audit Days for Department	143							90.5	
Procurement / Contracts										
8118001	Framework contracts	15	*	*	*	*	*	*	15.0	Complete

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8118002	Specific Projects (new and post contact review)	20	*	*	*	*	*	*	20.0	Complete
8118003	Departmental Contract Management	20	*	*	*	*	*	*	15.0	Field Work Complete
8118004	Community Benefits	10	*	*	*	*	*	*	9.0	Draft Report Issued
8118005	Category Management	10							0.0	
8118006	Financial Management Other	5							0.0	
	Total Audit Days for Department	80							59	
	Total Approved Plan Days	1240				% Complete to Date	65.5%		812.0	
	Fire									
9118001	CAATS	5	*	*	*	*			3.8	Field Work Complete
9118002	Cloud Computing	5	*	*	*				0.0	Commenced
9118003	Payroll - CORE	3	*	*	*				0.0	Commenced
9118004	HR - Terian	2	*	*	*				0.0	Commenced
9218001	Main Accounting	5	*	*	*	*	*		4.5	Draft Report Issued
9218002	Budget Monitoring & Budget Manual Compliance	5	*	*	*	*	*	*	5.0	Complete
9218003	VAT	5	*	*	*				0.0	Commenced
9218004	Fixed Asset Register & Capital Accounting	12	*	*	*				0.0	Commenced
9218005	Treasury Management - Loans	6	*						0.0	Pre Audit Meeting
9218006	Payroll System	8	*	*	*	*	*	*	8.0	Complete
9218007	Creditor Payments	5	*	*	*				0.0	Commenced
9218008	Travel & Subsistence System	8							0.0	
9218009	Annual Report	1							0.0	
9218010	Follow up	5							0.0	
9218011	Transport - Tranman	10							0.0	
9218012	Stores	10							0.0	
	Total Audit Days for Department	95							21.3	
	Additional Work Not Included in Original Plan									
2118014	Ceredigion IT	15	*	*	*				0.0	Commenced
1118007	Ceredigion Ethics	15	*	*	*				0.0	Commenced
5118014	Wales Pension Partnership	8	*	N/A	*	*	*	*	8.0	Complete
9018032	Financial Grant	10	*	*	*	*	*	*	10.0	Complete
	Total Additional Work	143							39.3	
	Total Audit Plan Time	1383							851.3	
	Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days						68.6%			