

INTERNAL AUDIT PLAN 2017/18										
2017/18	% Plan Completion to Date	39.7%		% Target Nov 2017					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										
1117001	Corporate Strategy/Policy Making	8	*	*	*	*	*		7.2	Draft Report Issued
1117002	Partnership Arrangements	8							0.0	
1117003	Annual Governance Statement	8	*	*	*	*	*		7.2	Draft Report Issued
1117004	HR Function - Recruitment / Safer Recruitment DBS	8							0.0	
1117005	Health & Safety	8	*	*	*	*			6.0	Field Work Complete
1117006	Staffing Policies	5							0.0	
1117007	Declaration of Interest	8							0.0	
1117008	Community Safety	5	*						0.0	Pre Audit Meeting
1117009	Electoral Services	5	*	*	*	*	*	*	5.0	Complete
1117010	Markets	5							0.0	
1117011	Sponsorship /Tourism/Marketing	5							0.0	
1117012	Property Management	8	*	*	*	*			6.0	Field Work Complete
1117013	Estate Management	8	*	*	*	*			6.0	Field Work Complete
1117014	European Programme	8							0.0	
1117015	Economic Development	10							0.0	
1117016	City Deal - Governance Arrangements	8	*	*	*	*			6.0	Field Work Complete
1117017	Wellness Centre	8							0.0	
1117018	Community Regeneration	8							0.0	
1117019	RLP	5							0.0	
1117020	Performance/Governance/Improvement Plans	8							0.0	
1117021	Physical Regeneration	8	*						0.0	Pre Audit Meeting
1117022	Well Being of Future Generations Act	5							0.0	
1117023	Welsh Language Standards	5	*	*	*				0.0	Commenced
1117024	Information Governance / Retention of records / CFP	8							0.0	
1117025	Property & Major Projects	10							0.0	
1117026	Financial Management Other	5	*	*	*	*	*		4.5	Draft Report Issued
Grants										
1117027	Business Development	5	*						0.0	Pre Audit Meeting
1117028	Third Party Grants Monitoring	5							0.0	
1117029	Grants Data Base	5	*	N/A	N/A	N/A	N/A	N/A	5.0	Complete
Total Audit Days for Department		200							52.9	
Computer Audits										
2117001	Computer Assisted Audit Testing(CAATs)	25	*	*	*	*			18.8	Field Work Complete
2117002	- Agresso Developments	5							0.0	
2117003	- Resource Link	10	*	*	*	*	*	*	10.0	Complete
2117004	- Payment Cards	5							0.0	
2117005	- Education & Children Services	5							0.0	
2117006	National Fraud Initiative	35	*	N/A	*	*	n/a	n/a	35.0	Complete
2117007	Asset Management (Central/Other)	10	*	*	*				0.0	Commenced
2117008	Collaborative Working	10							0.0	
2117009	Networks inc WiFi	10	*	*	*				0.0	Commenced
2117010	Business Continuity Planning	10	*	*	*	*			7.5	Field Work Complete
2117011	Installations	10	*	*	*	*	*	*	10.0	Complete
2117012	Active Directory	10	*	*	*	*	*		9.0	Draft Report Issued
2117013	Schools	10	*	*	*	*			0.0	Commenced
2117014	Other Systems - (Not TASK)	10	*	*	*	*	*	*	10.0	Complete
2117015	Digital Transformation	10							0.0	
2117016	Agile Working	10							0.0	
Total Days Computer Audits		185							100.3	
Education & Children										
School Improvement										
3117001	School Effectiveness Support Services	8							0.0	
Education Services										
3117002	Special Educational Needs	8							0.0	
3117003	School Redundancy & EVR	8	*	*	*				0.0	Commenced
Strategic Development										
3117004	School Milk & Uniform Grants	5	*	*	*				0.0	Commenced
3117005	School Meals & Primary Free Breakfast Services	12	*	*	*	*	*	*	12.0	Complete
Curriculum & Well being										
3117006	Youth Service	8							0.0	
3117007	Youth Service short term grants	3							0.0	
3117008	Adult & Community Learning	5	*						0.0	Pre Audit Meeting
Children's Services										
3117009	Safeguarding	8	*	*	*				0.0	Commenced
3117010	Financial Management Other	5							0.0	

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	Schools:									
3117011	Cross Hands C.P. School.	3	*	*	*	*	*		2.7	Draft Report Issued
3117012	Drefach C.P. School.	3	*	*	*	*	*		2.7	Draft Report Issued
3117013	Llangain C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117014	Bancffosfelin C.P. School.	3	*	*	*	*	*		2.7	Draft Report Issued
3117015	Pontyberem C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117016	Gwynfryn C.P. School.	3							0.0	
3117017	Carway C.P. School.	3							0.0	
3117018	Pontiets C.P. School	3							0.0	
3117019	Five Roads C.P. School	3							0.0	
3117020	Maesybont C.P. School.	3							0.0	
3117021	Blaenau C.P. School	3	*	*	*	*	*		2.7	Draft Report Issued
3117022	Ysgol G. Mynyddgarreg	3							0.0	
3117023	Trimsaran C.P. School	3	*	*	*	*	*		2.3	Field Work Complete
3117024	Copperworks Infant & Nursery School	3	*	*	*	*	*		2.7	Draft Report Issued
3117025	Lakefield C.P. School.	3	*	*	*	*	*		2.7	Draft Report Issued
3117026	Peniel C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117027	Bro Banw	3	*	*	*	*	*		2.7	Draft Report Issued
3117028	Saron C.P. School	3	*	*	*	*	*	*	3.0	Complete
3117029	Llangadog C.P. School	3							0.0	
3117030	Ysgol Y Dderwen, Carmarthen	3	*	*	*	*	*	*	3.0	Complete
3117031	Llanmiloe C.P. School	3							0.0	
3117032	Bryn C.P. School	3	*	*	*	*	*		2.7	Draft Report Issued
3117033	Y Felin (Felinfoel)	3	*	*	*	*	*	*	3.0	Complete
3117034	Ysgol Brynsierfel, Llanelli.	3	*	*	*	*	*	*	3.0	Complete
3117035	Llangunnor C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117036	Ysgol Gymraeg Teilo Sant, Llandeilo.	3							0.0	
3117037	Penygaer C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117038	Bigyn C.P. School.	3							0.0	
3117039	Richmond Park C.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117040	Ysgol Griffith Jones	3	*	*	*	*	*	*	2.7	Draft Report Issued
3117041	St. Mary's R.C.P. School. Llanelli.	3	*	*	*	*	*	*	2.7	Draft Report Issued
3117042	St. Mary's R.C.P. School, Carmarthen.	3	*	*	*	*	*	*	2.7	Draft Report Issued
3117043	Model V.A.P. School.	3	*	*	*	*	*	*	3.0	Complete
3117044	Ysgol Bro Dinefwr	7							0.0	
3117045	Dyffryn Amman	7							0.0	
3117046	Dyffryn Taf	7	*	*	*	*	*	*	7.0	Complete
3117047	Ysgol Gyfun Emlyn	7							0.0	
3117048	Bro Myrddin	7	*	*	*	*	*	*	7.0	Complete
	Grants									
3117049	School Uniform	5	*	*	*	*	*	*	5.0	Complete
3117050	Post 16	5							0.0	
3117051	Education - EIG - Q1 Audit	5	*	*	*	*	*	*	5.0	Complete
3117052	Education - EIG - Q2 Audit	5	*	*	*	*	*	*	5.0	Complete
3117053	Education - EIG - Q3 Audit	5							0.0	
3117054	Education - EIG - Q4 Audit	5							0.0	
3117055	Education - EIG - Final Annual Audit	5							0.0	
3117056	Education - PDG	5	*	*	*	*	*	*	5.0	Complete
3117057	Education & Children Grants	5							0.0	
3117058	Youth Work Strategy Grant	5	*	*	*	*	*	*	5.0	Complete
	Total Audit Days for Department	254							115.95	
	Corporate Services									
4117001	Main Accounting	10							0.0	
4117002	Budget Setting	5	*	*	*	*	*	*	4.5	Draft Report Issued
4117003	Budget Monitoring / Budget Manual Compliance	5	*	*	*	*	*	*	4.5	Draft Report Issued
4117004	VAT	8							0.0	
4117005	Capital Accounting incl.Fixed Asset Register	8							0.0	
4117006	Treasury Management - Loans	5							0.0	
4117007	Investments - Carmarthenshire CC	5							0.0	
4117008	Investments - Dyfed Pension Fund	5							0.0	
4117009	Pensions Payroll System	10	*	*	*	*	*	*	10.0	Complete
4117010	Housing Benefits	10							0.0	
4117011	Council Tax	10							0.0	
4117012	NNDR	10							0.0	
4117013	Payroll System	20	*	*	*	*	*	*	18.0	Draft Report Issued
4117014	Creditor Payments	20							0.0	
4117015	Debtors System	20							0.0	

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4117016	Cash Receipting	5	*	*	*	*	*	*	4.5	Draft Report Issued
4117017	Banking	5	*	*	*	*	*	*	5.0	Complete
4117018	Travel & Subsistence System	10							0.0	
4117019	Trust Funds	8	*	*	*	*	*	*	8.0	Complete
4117020	Burry Port Harbour - Accounts Return for WAO	5	*	*	*	*	*	*	5.0	Complete
4117021	Teachers Salaries	8	*	*	*	*	*	*	7.2	Draft Report Issued
4117022	Asset Disposal / Acquisition	8							0.0	
4117023	Financial Management Other	5							0.0	
	Total Audit Days for Department	205							66.7	
	Communities									
5117001	Disability/Adaptations/Renewals/ARBED	8							0.0	
5117002	Houses for Homes	8							0.0	
5117003	Tenancy Management	8							0.0	
5117004	Homelessness	8							0.0	
5117005	Rents	8	*	*	*	*	*	*	8.0	Complete
5117006	Contract Management/Partnerships	10	*	*	*	*	*	*	0.0	Commenced
5117007	Direct Payments	10	*	*	*	*	*	*	10.0	Complete
5117008	Residential Care Authority & Private Homes	8							0.0	
5117009	Day Care	8							0.0	
5117010	Learning Disabilities	5	"	*	*	*	*	*	5.0	Complete
5117011	Safeguarding	10							0.0	
5117012	Service User Assets	8	*	*	*	*	*	*	7.2	Draft Report Issued
5117013	Care Plans	5							0.0	
5117014	Independent Living Fund	5	*	*	*	*	*	*	5.0	Complete
5117015	Joint Equipment Store	5	*	*	*	*	*	*	4.5	Draft Report Issued
5117016	Amman Valley Leisure Centre	4	*	*	*	*	*	*	0.0	Commenced
5117017	Carmarthen Leisure Centre	4	*	*	*	*	*	*	3.0	Field Work Complete
5117018	Llanelli Leisure Centre	4	*	*	*	*	*	*	0.0	Terms of Reference
5117019	Newcastle Emlyn Leisure Centre	4	*	*	*	*	*	*	3.0	Field Work Complete
5117020	Pembrey Country Park / MCP / Country Parks	12							0.0	
5117021	Ski Centre	5							0.0	
5117022	Countryside Access	5							0.0	
5117023	St Clears Craft Centre	3	*	*	*	*	*	*	2.7	Draft Report Issued
5117024	West Area Leisure	5	*	*	*	*	*	*	0.0	Pre Audit Meeting
5117025	Pendine Outdoor Education Centre	8	*	*	*	*	*	*	7.2	Draft Report Issued
5117026	Financial Management Other	5	*	*	*	*	*	*	5.0	Complete
	Grants									
5117027	Supporting People - Outcomes	5	*	N/A	*	*	*	*	5.0	Complete
5117028	Supporting People - Financials	10	*	*	*	*	*	*	10.0	Complete
5117029	Communities	10							0.0	
	Total Audit Days for Department	198							75.6	
	Environment									
	Property:									
6117001	Property Maintenance	8							0.0	
6117002	Property Management	5							0.0	
6117003	Tenancy Management / Housing Voids	8							0.0	
6117004	Provision / livestock markets	5							0.0	
6117005	Grounds Maintenance	5	*	*	*	*	*	*	5.0	Complete
6117006	Waste Services	8							0.0	
6117007	Environmental Enforcement	5	*	*	*	*	*	*	5.0	Complete
	Highways and Transport:									
6117008	Highway Maintenance (incl. Trunk Roads)	8	*	*	*	*	*	*	8.0	Complete
6117009	Public transport	5	*	*	*	*	*	*	0.0	Commenced
6117010	Fleet/Plant Management	5							0.0	
	Planning Services:									
6117011	Building Control	5	*	*	*	*	*	*	5.0	Complete
6117012	106 Agreements	5	*	*	*	*	*	*	5.0	Complete
6117013	Heritage	5	*	*	*	*	*	*	5.0	Complete
	Policy & Development Departmental:									
6117014	Management Systems - Total	5	*	*	*	*	*	*	0.0	Commenced
6117015	Procurement	3	*	*	*	*	*	*	3.0	Complete
6117016	Financial Management Other	5							0.0	
	Grants									
6117017	Departmental Grants	10	*	*	*	*	*	N/A	10.0	Complete

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	Total Audit Days for Department	100							46	
	Procurement / Contracts									
7117001	Departmental Procurement Revenue Contracts	10	*	*	*				0.0	Commenced
7117002	Corporate Procurement	15							0.0	
7117003	Framework contracts	15	*	*	*	*			11.3	Field Work Complete
7117004	Regional Framework contracts	10	*	*	*				0.0	Commenced
7117005	Specific Projects	7	*	*	*	*	*	*	7.0	Complete
7117006	Capital Maintenance	5							0.0	
7117007	21st Century Schools	5	*	*	*	*	*	*	5.0	Complete
7117008	Post Contract	7	*		*				0.0	Commenced
7117009	Contract Partnering Selection	5							0.0	
7117010	Capital Grant Management	5							0.0	
7117011	Departmental Contract Management	8	*	*	*	*	*	*	8.0	Complete
7117012	Cost Management	8	*	*	*	*	*	N/A	8.0	Complete
7117013	Financial Management Other	10							0.0	
	Total Audit Days for Department	110							39.25	
	Total Approved Plan Days	1252	% Complete to Date	39.7%					496.7	
	Fire									
8117001	Network Security	5	*		*				0.0	Commenced
8117002	Internet Security	5	*		*				0.0	Commenced
8117003	Agresso	3			*				0.0	Commenced
8117004	Data Protection	5	*		*				0.0	Commenced
8117005	NFI	5							0.0	
8217001	Main Accounting	5							0.0	
8217002	VAT	5							0.0	
8217003	Capital Accounting incl.Fixed Asset Register	5							0.0	
8217004	Treasury Management - Loans	2							0.0	
8217005	Treasury Management - Investments	4							0.0	
8217006	Pensions Payroll System	5							0.0	
8217007	Payroll System	5							0.0	
8217008	Creditor Payments	5							0.0	
8217009	Debtors System	5							0.0	
8217010	Banking	4							0.0	
8217011	Travel & Subsistence System	5							0.0	
8217012	Procurement	5							0.0	
8217013	Asset Disposal / Acquisition / Asset Management	5							0.0	
8217014	3*grants	10							0.0	
	Total Audit Days for Department	93							0.0	
	Additional Work Not Included in Original Plan									
5117030	Pendine Investigation	25	*	*	*	*	*	*	25.0	Complete
4117024	Self Assessment	15	*	*	*	*	N/A	N/A	15.0	Complete
2117017	Ceredigion Payroll	14	*	*	*	*	*		12.6	Draft Report Issued
5117030	Pendine Investigation Phase II	5	*	*	*	*			0.0	Commenced
2217001	FOIA Whistleblowing Investigation	4	*	*	*	*	N/A	N/A	4.0	Complete
	Total Additional Work	156					% Complete to Date	36.3%	56.6	
	Total Audit Plan Time	1408					% Complete to Date	39.3%	553.3	
	Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days							44.2%		