

INTERNAL AUDIT PLAN 2018/19				REPORTING							
2018/19			Issues								
Job No	Departments	Status	No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues	3*=5	2*=3	1*=1	Score	Assurance Level
	<b>Chief Executive</b>										
1118001	Annual Governance Statement	Complete	0	4	1	5	0	12	1	13	Low
1118002	PMP Function - Recruitment / Safer Recruitment DBS	Complete	0	1	0	1	0	3	0	3	Acceptable
1118003	Ethics	Field Work Complete	0	0	0	0	0	0	0	0	
1118004	Gosod Syml	Complete	0	0	0	0	0	0	0	0	Grant Certificate
1118005	Whistleblowing	Draft Report Issued	0	0	0	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)	Complete	0	0	0	0	0	0	0	0	High
2118002	Resource Link	Complete	0	0	0	0	0	0	0	0	N/A
2118003	Agresso	Complete	0	0	0	0	0	0	0	0	N/A
2118004	Pensions	Complete	0	0	0	0	0	0	0	0	High
2118005	Revenues/ Benefits / DIPS	Complete	0	1	1	2	0	3	1	4	Acceptable
2118006	Education & Children Services Systems	Draft Report Issued	0	0	0	0	0	0	0	0	
2118007	Communities Systems	Complete	0	0	0	0	0	0	0	0	N/A
2118008	Environment Systems	Complete	0	0	0	0	0	0	0	0	N/A
2118009	IT Procurement	Complete	0	0	0	0	0	0	0	0	High
2118010	Cloud Computing	Commenced	0	0	0	0	0	0	0	0	
2118011	Data Protection	Field Work Complete	0	0	0	0	0	0	0	0	
2118012	Digital Transformation / Agile Working / Information	Complete	0	0	0	0	0	0	0	0	N/A
2118013	Financial Management Other	Complete	0	0	0	0	0	0	0	0	N/A
	<b>Total Days Computer Audits</b>										
	<b>Regeneration &amp; Policy</b>										
3118001	Customer Services	Complete	0	1	1	2	0	3	1	4	Acceptable
3118002	Press Office / Communication	Pre Audit Meeting	0	0	0	0	0	0	0	0	
3118003	Modern Records	Complete	0	1	0	1	0	3	0	3	Acceptable
3118004	Property & Estate Management	Draft Report Issued	0	0	0	0	0	0	0	0	
3118005	New Funding Programmes (eg ESI)	Complete	0	0	0	0	0	0	0	0	N/A
3118006	City Deal	Complete	0	0	0	0	0	0	0	0	N/A
3118007	Wellness Centre	Complete	0	0	0	0	0	0	0	0	N/A
3118008	Corporate Plan / Business Plans	Complete	0	0	0	0	0	0	0	0	N/A
3118009	Regeneration Strand 1	Complete	0	2	1	3	0	6	1	7	Acceptable
3118010	Regeneration Strand 2	Complete	0	1	0	1	0	3	0	3	Acceptable
3118011	Regeneration Strand 3	Complete	0	1	1	2	0	3	1	4	Acceptable
3118012	Regeneration Strand 4	Complete	0	1	1	2	0	3	1	4	Acceptable
3118013	Complaints	Complete	0	3	1	4	0	9	1	10	Acceptable
3118014	Data Protection	Commenced	0	0	0	0	0	0	0	0	
3118015	Financial Management Other	Draft Report Issued	0	0	0	0	0	0	0	0	
	<b>Grants</b>										
3118016	R&P Third Party Grants	Complete	0	0	0	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>										
	<b>Education &amp; Children</b>										
	<b>School Improvement</b>										
4118001	ERW inc arrangements for EIG & PDG	Complete	0	0	0	0	0	0	0	0	Grant Certificate
	<b>Education Services</b>										
4118002	Challenge Advisors	Commenced	0	0	0	0	0	0	0	0	
4118003	School Improvement	Commenced	0	0	0	0	0	0	0	0	
	<b>Strategic Development</b>										
4118004	Information & Improvement	Complete	0	0	0	0	0	0	0	0	N/A
4118005	Business Support	Complete	1	6	1	8	5	18	1	24	Low
	<b>Curriculum &amp; Well being</b>										
4118006	Education Other Than At School (EOTAS)	Complete	0	0	0	0	0	0	0	0	N/A
4118007	Families First Grant (Youth)	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118008	School Consultants	Commenced	0	0	0	0	0	0	0	0	
4118009	Learning Transformation - eg Cynnydd, Cam Nesa	Commenced	0	0	0	0	0	0	0	0	
	<b>Children's Services</b>										
4118010	Corporate Parenting	Complete	0	2	1	3	0	6	1	7	Acceptable
4118011	Family Support	Complete	0	0	0	0	0	0	0	0	High
4118012	Safeguarding	Draft Report Issued	0	0	0	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	Complete	0	3	1	4	0	9	1	10	Acceptable
4118015	Schools Recruitment & Teachers salaries	Complete	0	1	4	5	0	3	4	7	Acceptable
4118016	Schools - Monitoring deficits & surpluses	Commenced	0	0	0	0	0	0	0	0	
4118017	School Meals, Free Meals & Primary Free Breakfast Services	Complete	0	2	4	6	0	6	4	10	Acceptable
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	Complete	0	0	0	0	0	0	0	0	N/A
4118035	Schools Questionnaires Q4	Complete	0	0	0	0	0	0	0	0	N/A
4118019	School visits Q1	Complete	0	1	7	8	0	3	7	10	Acceptable
4118036	School visits Q2	Complete	0	2	4	6	0	6	4	10	Acceptable
4118037	School visits Q3	Complete	0	7	4	11	0	21	4	25	Low
4118038	School visits Q4	Draft Report Issued	0	0	0	0	0	0	0	0	
	<b>Grants</b>										
4118020	Post 16	Complete	0	0	0	0	0	0	0	0	Grant Certificate
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	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118025	Education - EIG - Q4 Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118026	Education - PDG - Final Annual Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118027	Education - PDG - Q1	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118028	Education - PDG - Q2	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118029	Education - PDG - Q3	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4118030	Education - PDG - Q4	Complete	0	0	0	0	0	0	0	0	Grant Certificate
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
	<b>Total Audit Days for Department</b>										

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2018/19			Issues				3*=5			2*=3	1*=1	Score	Assurance Level
Job No	Departments	Status	No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues							
<b>Corporate Services</b>													
5118001	Budget Setting / Delivery of Efficiencies	Draft Report Issued				0	0	0	0	0	0		
5118002	VAT	Complete	0	2	0	2	0	6	0	6	6	Acceptable	
5118003	Treasury Management - Loans	Complete	0	1	0	1	0	3	0	3	3	Acceptable	
5118004	Housing Benefits	Draft Report Issued				0	0	0	0	0	0		
5118005	Payroll System	Complete	0	3	1	4	0	9	1	10	10	Acceptable	
5118006	Creditor Payments	Field Work Complete				0	0	0	0	0	0		
5118007	Debtors System	Draft Report Issued				0	0	0	0	0	0		
5118008	Cash & Bank	Complete	1	0	1	2	5	0	1	6	6	Low	
5118009	Travel & Subsistence System	Complete	0	4	1	5	0	12	1	13	13	Low	
5118010	Deputyships	Complete	0	2	2	4	0	6	2	8	8	Acceptable	
5118011	Trust Funds	Complete	0	6	2	8	0	18	2	20	20	Acceptable	
5118012	Burry Port Harbour - Accounts Return for WAO	Complete	0	7	0	7	0	21	0	21	21	Grant Certificate	
5118013	Financial Management Other	Complete	0	0	0	0	0	0	0	0	0	Grant Certificate	
<b>Total Audit Days for Department</b>													
<b>Communities</b>													
6118001	Home Care	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118002	Residential Care Authority & Private Homes Q1	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118023	Residential Care Authority & Private Homes Q2	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118024	Residential Care Authority & Private Homes Q3	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118025	Residential Care Authority & Private Homes Q4	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118003	Supported Living	Complete	0	0	0	0	0	0	0	0	0	N/A	
6118004	Learning Disabilities	Complete	0	0	0	0	0	0	0	0	0	Grant Certificate	
6118005	Safeguarding	Complete	0	0	0	0	0	0	0	0	0	High	
6118006	Affordable Homes	Complete	0	0	1	1	0	0	1	1	1	High	
6118007	Licensing and other fees	Complete	0	0	0	0	0	0	0	0	0	High	
6118008	Museums	Complete	0	3	0	3	0	9	0	9	9	Acceptable	
6118009	Libraries	Complete	0	2	1	3	0	6	1	7	7	Acceptable	
6118010	Amman Valley Leisure Centre	Complete	0	3	1	4	0	9	1	10	10	Acceptable	
6118011	Carmarthen Leisure Centre	Complete	0	2	4	6	0	6	4	10	10	Acceptable	
6118012	Llanelli Leisure Centre	Complete	0	2	3	5	0	6	3	9	9	Acceptable	
6118013	Pembrey Country Park / MCP / Country Parks	Complete	0	0	6	6	0	0	6	6	6	Acceptable	
6118014	Ski Centre	Complete	0	5	3	8	0	15	3	18	18	Low	
6118015	Theatres	Complete	0	3	1	4	0	9	1	10	10	Acceptable	
6118016	South Area Leisure / Education & Workforce	Complete	0	2	2	4	0	6	2	8	8	Acceptable	
6118017	Pendine Outdoor Education Centre	Draft Report Issued				0	0	0	0	0	0		
6118018	Llesiant Delta Wellbeing Ltd - LATC	Field Work Complete				0	0	0	0	0	0		
6118019	Housing Company	Draft Report Issued				0	0	0	0	0	0		
6118020	SP Financials	Complete	0	0	0	0	0	0	0	0	0	Grant Certificate	
6118026	LC Memberships	Complete	0	0	0	0	0	0	0	0	0	High	
<b>Grants</b>													
6118021	Supporting People	Complete	0	0	0	0	0	0	0	0	0	Grant Certificate	
6118022	Communities	Complete	0	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	Draft Report Issued				0	0	0	0	0	0		
7118002	Property & Estate Management (sale of assets)	Draft Report Issued				0	0	0	0	0	0		
7118003	Energy Strategy	Complete	0	0	0	0	0	0	0	0	0	High	
<b>Waste and Environment:</b>													
7118004	Grounds Maintenance	Complete	0	2	0	2	0	6	0	6	6	Acceptable	
7118005	Cleansing Services	Complete	0	3	0	3	0	9	0	9	9	Acceptable	
<b>Highways and Transport:</b>													
7118006	Highway Maintenance (incl. Trunk Roads)	Draft Report Issued				0	0	0	0	0	0		
7118007	Other Streetwork	Complete	0	2	0	2	0	6	0	6	6	Acceptable	
7118008	Street Lighting	Complete	0	0	1	1	0	0	1	1	1	High	
7118009	Parking Inc. Enforcement	Complete	0	0	1	1	0	0	1	1	1	High	
<b>Planning Services:</b>													
7118010	Local Development Plan	Field Work Complete				0	0	0	0	0	0		
<b>Policy &amp; Development Departmental:</b>													
7118011	Management Systems - Total	Complete	0	0	0	0	0	0	0	0	0	N/A	
7118012	Financial Management Other	Complete	0	0	0	0	0	0	0	0	0	N/A	
<b>Grants</b>													
7118013	Environment Departmental Grants	Complete	0	0	0	0	0	0	0	0	0	N/A	
<b>Total Audit Days for Department</b>													
<b>Procurement / Contracts</b>													
8118001	Framework contracts	Complete	0	0	0	0	0	0	0	0	0	High	
8118002	Specific Projects (new and post contact review)	Complete	0	1	0	1	0	3	0	3	3	Acceptable	
8118003	Departmental Contract Management	Field Work Complete				0	0	0	0	0	0		
8118004	Community Benefits	Draft Report Issued				0	0	0	0	0	0		
8118005	Category Management	Complete	0	0	0	0	0	0	0	0	0	High	
8118006	Financial Management Other	Complete	0	0	0	0	0	0	0	0	0	N/A	
<b>Total Audit Days for Department</b>													
<b>Additional Work Not Included in Original Plan</b>													
5118014	Wales Pension Partnership	Complete	0	0	0	0	0	0	0	0	0	Grant Certificate	
9018032	Financial Grant Advice	Complete	0	0	0	0	0	0	0	0	0	N/A	
<b>Total Additional Work</b>													

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