

INTERNAL AUDIT PLAN 2019/20			REPORTING								
2019/20	% Plan Completion to Date	Status	Issues				3*=5	2*=3	1*=1	Score	Assurance Level
Job No	Departments		No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues					
Chief Executive											
1119001	PMP Function - Recruitment					0	0	0	0	0	
1119002	PMP Organisational Development					0	0	0	0	0	
1119003	Legal					0	0	0	0	0	
1119004	Democratic Advice and Support					0	0	0	0	0	
1119005	Financial Management Other					0	0	0	0	0	
1119006	Chief Executive Grants (SCWDP Grant)					0	0	0	0	0	
Total Audit Days for Department											
Information & Communications Audit											
2119001	Security of Information					0	0	0	0	0	
2119002	Licensing	Commenced				0	0	0	0	0	
2119003	Communications	Commenced				0	0	0	0	0	
2119004	Computer Assisted Audit Testing (CAATs)					0	0	0	0	0	
2119005	Chief Executives Systems:					0	0	0	0	0	
2119006	Corporate Services Systems:					0	0	0	0	0	
2119007	Education & Children Services Systems					0	0	0	0	0	
2119008	Communities Systems	Commenced				0	0	0	0	0	
2119009	Environment Systems					0	0	0	0	0	
2119010	Corporate File Plan	Commenced				0	0	0	0	0	
2119011	Financial Management Other					0	0	0	0	0	
Total Days Computer Audits											
Regeneration & Policy											
3119001	TIC					0	0	0	0	0	
3119002	Coroners / other services	Commenced				0	0	0	0	0	
3119003	Partnership Arrangements					0	0	0	0	0	
3119004	Call Centre	Commenced				0	0	0	0	0	
3119005	Print Commissioning	Commenced				0	0	0	0	0	
3119006	Community Safety					0	0	0	0	0	
3119007	Sponsorship /Tourism/Marketing	Commenced				0	0	0	0	0	
3119008	Property & Estate Management					0	0	0	0	0	
3119009	Swansea Bay City Deal - Accounts Return for WAO	Complete	0	0	0	0	0	0	0	0	WAO Return
3119010	Wellness Centre					0	0	0	0	0	
3119011	Regeneration Strand 1					0	0	0	0	0	
3119012	Regeneration Strand 2					0	0	0	0	0	
3119013	Regeneration Strand 3					0	0	0	0	0	
3119014	Regeneration Strand 4					0	0	0	0	0	
3119015	Financial Management Other					0	0	0	0	0	
Total Audit Days for Department											
Education & Children											
4119001	Sensory Impairment					0	0	0	0	0	
4119002	Children & Young People Participation					0	0	0	0	0	
4119003	EOTAS Learning Transformation - (Seren)	Commenced				0	0	0	0	0	
4119004	Music Services for Schools					0	0	0	0	0	
4119005	Youth Offending & Prevention Service					0	0	0	0	0	
4119006	Adoption & Fostering					0	0	0	0	0	
4119007	Education Welfare					0	0	0	0	0	
4119008	Safeguarding					0	0	0	0	0	
4119009	Financial Management Other					0	0	0	0	0	
4119010	School Admissions					0	0	0	0	0	
4119011	Schools DBS					0	0	0	0	0	
4119012	Schools Recruitment & Teachers salaries					0	0	0	0	0	
4119013	Schools - Governance and Governors					0	0	0	0	0	
4119014	School Meals, Free Meals & Primary Free Breakfast Services	Field Work Complete				0	0	0	0	0	
4119015	Schools Questionnaires 1/4	Complete	0	0	0	0	0	0	0	0	N/A
4119016	Schools Questionnaires 2/4	Complete	0	0	0	0	0	0	0	0	N/A
4119017	Schools Questionnaires 3/4	Complete	0	0	0	0	0	0	0	0	N/A
4119018	Schools Questionnaires 4/4	Complete	0	0	0	0	0	0	0	0	N/A
4119019	School visits 1/4					0	0	0	0	0	
4119020	School visits 2/4					0	0	0	0	0	
4119021	School visits 3/4					0	0	0	0	0	
4119022	School visits 4/4					0	0	0	0	0	
4119023	PDG Access (School Uniform)					0	0	0	0	0	
4119024	Post 16					0	0	0	0	0	
4119025	Education - EIG - Final Annual Audit	Commenced				0	0	0	0	0	
4119026	Education - EIG - Q1 Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4119027	Education - EIG - Q2 Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4119028	Education - EIG - Q3 Audit					0	0	0	0	0	
4119029	Education - EIG - Q4 Audit					0	0	0	0	0	
4119030	Education - PDG - Final Annual Audit	Commenced				0	0	0	0	0	
4119031	Education - PDG - Q1	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4119032	Education - PDG - Q2	Complete	0	0	0	0	0	0	0	0	Grant Certificate
4119033	Education - PDG - Q3					0	0	0	0	0	
4119034	Education - PDG - Q4					0	0	0	0	0	
4119035	Cymraeg I Oedolion					0	0	0	0	0	
4119036	Youth Work Strategy Grant	Complete	0	0	0	0	0	0	0	0	Grant Certificate
Total Audit Days for Department											
Corporate Services											
5119001	Annual Governance Statement	Commenced				0	0	0	0	0	
5119002	Main Accounting					0	0	0	0	0	
5119003	Petty Cash					0	0	0	0	0	
5119004	Sundry Expenses					0	0	0	0	0	
5119005	Capital Accounting incl.Fixed Asset Register					0	0	0	0	0	
5119006	Pensions Payroll System					0	0	0	0	0	
5119007	Council Tax					0	0	0	0	0	
5119008	Payroll System	Commenced				0	0	0	0	0	
5119009	Creditor Payments					0	0	0	0	0	
5119010	Debtors System					0	0	0	0	0	
5119011	Trust Funds	Field Work Complete				0	0	0	0	0	
5119012	Wales Pension Partnership - Accounts Return for WAO	Complete	0	0	0	0	0	0	0	0	WAO Return
5119013	Burry Port Harbour - Accounts Return for WAO	Complete	0	0	0	0	0	0	0	0	WAO Return
5119014	National Fraud Initiative	Complete	0	0	0	0	0	0	0	0	N/A
5119015	Financial Management Other	Draft Report Issued				0	0	0	0	0	
Total Audit Days for Department											
Communities											
6119001	Rents	Commenced				0	0	0	0	0	
6119002	Contract Management/Partnerships	Commenced				0	0	0	0	0	
6119003	Residential Care Authority & Private Homes					0	0	0	0	0	
6119004	Day Care					0	0	0	0	0	
6119005	Payment cards in Adult Social Care					0	0	0	0	0	

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6119006	MHLD	Commenced				0	0	0	0	0	
6119007	Safeguarding					0	0	0	0	0	
6119008	Travellers Sites	Field Work Complete				0	0	0	0	0	
6119009	Meal provision	Commenced				0	0	0	0	0	
6119010	Cultural/Arts Development: Oriel Myrddin	Draft Report Issued				0	0	0	0	0	
6119011	Museums	Complete	0	3	0	3	0	9	0	9	Acceptable
6119012	Amman Valley Leisure Centre					0	0	0	0	0	
6119013	Carmarthen Leisure Centre					0	0	0	0	0	
6119014	Llanelli Leisure Centre					0	0	0	0	0	
6119015	East Area Leisure / NERS / Marketing	Commenced				0	0	0	0	0	
6119016	Llesiant Delta Wellbeing Ltd - LATC	Commenced				0	0	0	0	0	
6119017	Housing Company	Draft Report Issued				0	0	0	0	0	
6119018	Financial Management Other	Complete	0	0	0	0	0	0	0	0	N/A
Grants											
6119019	Supporting People	Commenced				0	0	0	0	0	
6119020	Communities					0	0	0	0	0	
6119021	Homelessness Grants (x2)					0	0	0	0	0	
6119022	Rent Smart Wales					0	0	0	0	0	
6119023	Gosod Symb					0	0	0	0	0	
6119024	Enablement Grant	Field Work Complete				0	0	0	0	0	
Total Audit Days for Department											
Environment											
7119001	Property Maintenance					0	0	0	0	0	
7119002	Asset Transfer					0	0	0	0	0	
7119003	Property & Estate Management (sale of assets)					0	0	0	0	0	
7119004	Tenancy Management / Housing Voids					0	0	0	0	0	
7119005	Cleaning Services	Commenced				0	0	0	0	0	
7119006	Grounds Maintenance					0	0	0	0	0	
7119007	Waste					0	0	0	0	0	
7119008	Environmental Enforcement	Field Work Complete				0	0	0	0	0	
7119009	Highway Maintenance (incl. Trunk Roads)					0	0	0	0	0	
7119010	Public transport					0	0	0	0	0	
7119011	Fleet/Plant Management	Field Work Complete				0	0	0	0	0	
7119012	Local Development Plan					0	0	0	0	0	
7119013	Financial Management Other					0	0	0	0	0	
7119014	Departmental Grants					0	0	0	0	0	
Total Audit Days for Department											
Procurement / Contracts											
8119001	Corporate Procurement					0	0	0	0	0	
8119002	Specific Projects (new and post contact review)	Commenced				0	0	0	0	0	
8119003	Capital Maintenance					0	0	0	0	0	
8119004	Contract Partnering Selection	Field Work Complete				0	0	0	0	0	
8119005	Capital Programme / SASG					0	0	0	0	0	
8119006	Financial Management Other					0	0	0	0	0	
Total Audit Days for Department											
Total Approved Plan Days											
Fire											
9119001	Security of Information (including consideration of GDPR)					0	0	0	0	0	
9119002	Communications and Social Media					0	0	0	0	0	
9119003	Community Fire Risk Management Information System					0	0	0	0	0	
9219001	Main Accounting	Terms of Reference				0	0	0	0	0	
9219002	Budget Setting	Commenced				0	0	0	0	0	
9219003	VAT					0	0	0	0	0	
9219004	Pension Payroll System					0	0	0	0	0	
9219005	Payroll System					0	0	0	0	0	
9219006	Creditor Payments					0	0	0	0	0	
9219007	Leased Cars					0	0	0	0	0	
9219008	Annual Report					0	0	0	0	0	
9219009	Follow up previous year's recommendations					0	0	0	0	0	
9219010	Grants x 1					0	0	0	0	0	
Total Audit Days for Department											
Additional Work Not Included in Original Plan											
9319001	Cwm	Commenced				0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
Total Additional Work											
Total Audit Plan Time											
Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days											