	INTERNAL AUDIT PLAN 2019/20	REPORTING											
2040/20			Issues										
2019/20	% Plan Completion to Date			ISS	ues	1		1					
Job No	Departments	Status	No. of 3 * Issues	No. of 2 *	No. of 1 * Issues	Total No. Issues	3*=5	2*=3	1*=1	Score	Assurance Level		
	Chief Executive	- 0,											
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)	Commenced				0	0	0	0	0			
	Total Audit Days for Department												
	Information & Communications Audit												
2440004	Conveits of Information	Commenced					0	0	0				
2119001 2119002	Security of Information Licensing	Field Work Complete				0	0	0	0	0	+		
2119002	Communications	Field Work Complete				0	0	0	0	0			
2119003	Computer Assisted Audit Testing (CAATs)	Fleid Work Complete				0	0	0	0	0			
2119004	Chief Executives Systems:	Commenced				0	0	0	0	0			
2119006	Corporate Services Systems:	Commenced				0	0	0	0	0			
	Education & Children Services Systems	Commenced				0	0	0	0	0			
2119008	Communities Systems	Commenced				0	0	0	0	0			
2119009	Environment Systems	99				0	0	0	0	0			
2119010	Corporate File Plan	Commenced				0	0	0	0	0			
2119011	Financial Management Other	Complete	0	0	0	0	0	0	0	0	Advisory		
	Total Days Computer Audits									1			
	Total Days Computer Addits												
	Regeneration & Policy												
3119001	TIO					0	0	0	0	0			
3119001	TIC Coroners / other services	Commenced				0	0	0	0	0			
3119002	Partnership Arrangements	Commenced				0	0	0	0	0			
3119004	Call Centre	Draft Report Issued				0	0	0	0	0			
3119005	Print Commissioning	Field Work Complete				0	0	0	0	0			
3119006	Community Safety	Draft Report Issued				0	0	0	0	0			
3119007	Sponsorship /Tourism/Marketing	Complete	0	2	1	3	0	6	1	7	Acceptable		
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	Pre Audit Meeting				0	0	0	0	0			
3119012	Regeneration Strand 2	Pre Audit Meeting				0	0	0	0	0			
3119013	Regeneration Strand 3	Pre Audit Meeting				0	0	0	0	0			
3119014	Regeneration Strand 4	Draft Report Issued				0	0	0	0	0			
3119015	Financial Management Other					0	0	0	0	0			
	Total Audit Days for Department												
<u> </u>	Education & Children								-	1			
	Ludeation & Children										+		
4119001	Sensory Impairment					0	0	0	0	0			
4119002	Children & Young People Participation					0	0	0	0	0			
4119003	Education Other Than At School (EOTAS) - (Seren)	Field Work Complete				0	0	0	0	0			
4119004	Music Services for Schools	Pre Audit Meeting				0	0	0	0	0			

		INTERNAL AUDIT PLAN 2019/20	REPORTING											
Job No Departments	2019/20			Issues										
1411900 Votam Offending & Provention Service 0 0 0 0 0 0 0 0 0		·	Status		No. of 2 *	No. of 1 *		3*=5	2*=3	1*=1	Score	Assurance Level		
1419007 Scheduler & Freidwick Complete 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		Youth Offending & Prevention Service	υ,				0	0	0	n	0			
141900 Selection Welfare			Draft Report Issued					_	_					
411900 Simonal Management Other									_					
#119001 School Ampsions Fed Work Complete 0			Tiela Weik Complete						-					
H19010 School DBS			Complete	0	0	0	_		_			Advisory		
4119011 Schools Peculiment & Teachers salaries 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0			·	·	, , ,	, , ,		_	_			7.00.00.9		
			Tiela Weik Complete				_		_					
4119013 Shnois - Coverance and Governors														
4119114 School Mealins Free Meals & Printers Free Persekfast Services Drift Report Issued 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		Schools - Governance and Governors							_					
#119015 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 Complete 0 0 0 0 0 0 0 0 0 0 0 NA 1419017 Schools Questionnaires 2/4 District Report Issued 0 0 0 0 0 0 0 0 0 0 0 NA 141902 School visite 3/4 Field Work Complete 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0			Draft Report Issued						_					
## ## ## ## ## ## ## ## ## ## ## ## ##				0	0	0	_		_			N/A		
4119017 Schools Questionnaires 344								_			1			
4119018 Schools Questionnaires 44					_	_			-					
4119191					0	0	0	0	_	0	0			
4119020 School vists 2/4							0	0	0	0	0			
4119022 School visits 4/4			Draft Report Issued				0	0	0	0	0			
4119022 School visits 4/4			Field Work Complete				0	0	0	0	0			
4119024 Post 16		School visits 4/4					0	0	0	0	0			
#119024 Post 16	4119023	PDG Access (School Uniform)	Complete	0	0	0	0	0	0	0	0	N/A		
#119026 Education - EIG - Q2 Audit			Complete	0	0	0	0	0	0	0	0	Grant Certificate		
4119027 Education - EIG - Q2 Audif	4119025	Education - EIG - Final Annual Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate		
High Education - EliG - G3 Audit Complete Compl		Education - EIG - Q1 Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate		
Education - EIG - Q4 Audit	4119027	Education - EIG - Q2 Audit	Complete	0	0	0	0	0	0	0	0	Grant Certificate		
H119030 Education - PDG - Final Annual Audit Complete O O O O O O O O O	4119028	Education - EIG - Q3 Audit	Draft Report Issued				0	0	0	0	0			
Hand Education - PDG - Q1	4119029						0	0	0	0	0			
Hand Education - PDG - Q2 Complete O O O O O O O O O			Complete	0	0	0	0	0	0	0	0	Grant Certificate		
Harthous Education - PDG - Q3 Commenced	4119031	Education - PDG - Q1							_					
Hard				0	0	0			_	_		Grant Certificate		
4119036 Cymraeg Dedolion Commenced 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0			Commenced											
A 119036 Youth Work Strategy Grant Complete O O O O O O O O O			_				_	_	-					
Total Audit Days for Department								_	_					
Corporate Services	4119036	Youth Work Strategy Grant	Complete	0	0	0	0	0	0	0	0	Grant Certificate		
Corporate Services														
Corporate Services														
S119001		Total Audit Days for Department							 	1				
S119001		Corporate Services						-	-	-				
5119002 Main Accounting Petty Cash Field Work Complete 0 0 0 0 0 5119003 Petty Cash Field Work Complete 0 <td></td> <td>Corporate Services</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>-</td> <td>1</td> <td> </td> <td>1</td> <td>+</td>		Corporate Services						-	1	 	1	+		
5119002 Main Accounting Petty Cash Field Work Complete 0 0 0 0 0 5119003 Petty Cash Field Work Complete 0 <td>5110001</td> <td>Annual Covernance Statement</td> <td>Field Work Complete</td> <td></td> <td></td> <td></td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td></td>	5110001	Annual Covernance Statement	Field Work Complete				0	0	0	0	0			
5119003 Petty Cash Field Work Complete 0 0 0 0 0 5119004 Sundry Expenses Commenced 0 <td></td> <td>Main Accounting</td> <td>i icia vvoik complete</td> <td></td> <td></td> <td></td> <td></td> <td>_</td> <td>_</td> <td></td> <td></td> <td></td>		Main Accounting	i icia vvoik complete					_	_					
5119004 Sundry Expenses Commenced 0 0 0 0 0 5119005 Capital Accounting incl.Fixed Asset Register Commenced 0			Field Work Completo				_		_			+		
5119005 Capital Accounting incl. Fixed Asset Register Commenced 0 0 0 0 0 5119006 Pensions Payroll System 0 <td< td=""><td></td><td>,</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td>+</td></td<>		,										+		
5119006 Pensions Payroll System 0 0 0 0 0 5119007 Council Tax 0 </td <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>_</td> <td></td> <td></td> <td></td>									_					
5119007 Council Tax 0 0 0 0 0 0 5119008 Payroll System Draft Report Issued 0			Commenced				-							
5119008 Payroll System Draft Report Issued 0 0 0 0 0 0 5119009 Creditor Payments 0														
5119009 Creditor Payments 0 0 0 0 0 5119010 Debtors System Field Work Complete 0			Draft Report Issued											
5119010 Debtors System Field Work Complete 0 0 0 0 0 5119011 Trust Funds Draft Report Issued 0 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 N/A			Dian Ropolt Issued							_				
5119011 Trust Funds Draft Report Issued 0 0 0 0 0 0 5119012 Wales Pension Partnership - Accounts Return for WAO Complete 0			Field Work Complete											
5119012 Wales Pension Partnership - Accounts Return for WAO Complete 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 0 WAO Return 5119014 National Fraud Initiative Complete 0 0 0 0 0 0 0 N/A		,												
5119013 Burry Port Harbour - Accounts Return for WAO Complete 0 0 0 0 0 0 0 WAO Return 5119014 National Fraud Initiative Complete 0 0 0 0 0 0 0 N/A				0	0	0			_			WAO Return		
5119014 National Fraud Initiative Complete 0 0 0 0 0 0 N/A														
		Financial Management Other		-										

	INTERNAL AUDIT PLAN 2019/20	REPORTING												
2019/20			Issues											
2019/20	% Plan Completion to Date			ISS	ues	Τ			1	1	_			
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			
	Total Audit Days for Department													
	Total Addit Days for Department													
	Communities													
6119001	Rents	Field Work Complete				0	0	0	0	0				
6119002	Contract Management/Partnerships	Complete	0	1	0	1	0	3	0	3	Acceptable			
6119003	Residential Care Authority & Private Homes	Commenced				0	0	0	0	0				
6119004 6119005	Day Care Payment cards in Adult Social Care	Field Work Complete				0	0	0	0	0	+			
6119005	MHLD	Complete	0	1	0	1	0	3	0	3	Acceptable			
6119007	Safeguarding	Complete				0	0	0	0	0	/ toocptable			
6119008	Travellers Sites	Draft Report Issued				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	Commenced				0	0	0	0	0				
6119013	Carmarthen Leisure Centre	Commenced				0	0	0	0	0				
6119014	Llanelli Leisure Centre	Commenced				0	0	0	0	0				
6119015	East Area Leisure / NERS / Marketing	Complete	0	1	2	3	0	3	2	5	Acceptable			
6119016	Llesiant Delta Wellbeing Ltd - LATC	Commenced		_		0	0	0	0	0	A 1.2			
6119017	Housing Company	Complete	0	0	0	0	0	0	0	0	Advisory N/A			
6119018	Financial Management Other Grants	Complete	U	U	U	U	0	U	U	U	IN/A			
6119019	Supporting People	Complete	0	2	2	4	0	6	2	8	Acceptable			
6119020	Communities	Complete	Ŭ			0	0	0	0	0	71000010010			
6119021	Homelessness Grants (x2)	Draft Report Issued				0	0	0	0	0				
6119022	Rent Smart Wales	Complete	0	0	0	0	0	0	0	0	Grant Certificate			
6119023	Gosod Syml	Complete	0	0	0	0	0	0	0	0	Grant Certificate			
6119024	Enablement Grant	Complete	0	0	0	0	0	0	0	0	Grant Certificate			
	Total Audit Days for Department													
	Environment													
							1		1	1				
7119001	Property Maintenance	Draft Report Issued				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	Draft Report Issued				0	0	0	0	0				
7119006	Grounds Maintenance	Draft Report Issued				0	0	0	0	0	ļ			
7119007 7119008	Waste Environmental Enforcement	Complete	0	4	0	0	0	3	0	0	Aggertable			
7119008	Highway Maintenance (incl. Trunk Roads)	Complete Commenced	0	1	U	0	0	0	0	3	Acceptable			
7119009	Public transport	Commenced				0	0	0	0	0				
7119010	Fleet/Plant Management	Draft Report Issued				0	0	0	0	0				
7119012	Local Development Plan	Commenced				0	0	0	0	0	1			
7119013	Financial Management Other	Draft Report Issued				0	0	0	0	0				
7119014	Departmental Grants	Draft Report Issued				0	0	0	0	0				

	INTERNAL AUDIT PLAN 2019/20	REPORTING												
0040/00														
2019/20	% Plan Completion to Date			ISS	ues	,		,			_			
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			
	Total Audit Days for Department													
	Procurement / Contracts													
8119001	Corporate Procurement					0	0	0	0	0				
8119002	Specific Projects (new and post contact review)	Complete	0	0	0	0	0	0	0	0	High			
8119003	Capital Maintenance	Draft Report Issued				0	0	0	0	0				
8119004	Contract Partnering Selection	Draft Report Issued				0	0	0	0	0				
8119005	Capital Programme / SASG	Field Work Complete				0	0	0	0	0				
8119006	Financial Management Other	Draft Report Issued				0	0	0	0	0				
	Total Audit Days for Department													
	Total Approved Plan Days													
	Total 7 sproton 1 said 2 sproton 1 said 2 sproton 2 spro													
	Fire	+		+					+	+	+			
	1116	+												
9119001	Security of Information (including consideration of GDPR)	+				0	0	0	0	0				
9119002	Communications and Social Media	Field Work Complete				0	0	0	0	0				
9119003	Comminuty Fire Risk Management Information System	Commenced				0	0	0	0	0				
9219001	Main Accounting	Complete	0	1	1	2	0	3	1	4	Acceptable			
9219002	Budget Setting	Complete	0	2	0	2	0	6	0	6	Acceptable			
9219003	VAT	Terms of Reference				0	0	0	0	0				
9219004	Pension Payroll System	Commenced				0	0	0	0	0				
9219005	Payroll System	Commenced				0	0	0	0	0				
9219006	Creditor Payments	Commenced				0	0	0	0	0				
9219007	Leased Cars	Commenced				0	0	0	0	0				
9219008	Annual Report					0	0	0	0	0				
9219009	Follow up previous year's recommendations	Commenced				0	0	0	0	0				
9219010	Grants x 1	Commenced				0	0	0	0	0				
						0	0	0	0	0				
		+				0	0	0	0	0				
	Total Audit Days for Department					, , , , , , , , , , , , , , , , , , ,		0	0	U				
	Total Addit Baye for Bopartment													
	Additional Work Not Included in Original Plan													
	-													
9319001	Cwm	Draft Report Issued				0	0	0	0	0				
						0	0	0	0	0				
				ļ		0	0	0	0	0	1			
						0	0	0	0	0				
						0	0	0	0	0				
	Total Additional Work													
											+			
	Total Audit Plan Time								-	1				
								1						

	INTERNAL AUDIT PLAN 2019/20				REPORTING									
2019/20	% Plan Completion to Date		Issues											
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			
	Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days													