

INTERNAL AUDIT PLAN 2019/20										
2019/20	% Plan Completion to Date	66%								
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
<b>Chief Executive</b>										
1119001	PMP Function - Recruitment	10							0.0	
1119002	PMP Organisational Development	12							0.0	
1119003	Legal	8							0.0	
1119004	Democratic Advice and Support	8	*	*	*	*			6.0	Field Work Complete
1119005	Financial Management Other	5							0.0	
1119006	Chief Executive Grants (SCWDP Grant)	8	*	*	*				2.4	Commenced
<b>Total Audit Days for Department</b>		<b>51</b>							<b>8.4</b>	
<b>Information &amp; Communications Audit</b>										
2119001	Security of Information	10	*	*	*				3.0	Commenced
2119002	Licensing	10	*	*	*	*			7.5	Field Work Complete
2119003	Communications	10	*	*	*	*			7.5	Field Work Complete
2119004	Computer Assisted Audit Testing (CAATs)	25	*	*	*				7.5	Commenced
2119005	Chief Executives Systems:	10	*	*	*				3.0	Commenced
2119006	Corporate Services Systems:	8	*	*	*	*	*	*	8.0	Complete
2119007	Education & Children Services Systems	10							0.0	
2119008	Communities Systems	15	*	*	*				4.5	Commenced
2119009	Environment Systems	15	*	*	*				4.5	Commenced
2119010	Corporate File Plan	10	*	*	*				3.0	Commenced
2119011	Financial Management Other	5	*	*	*	*	N/A	N/A	5.0	Complete
<b>Total Days Computer Audits</b>		<b>128</b>							<b>53.5</b>	
<b>Regeneration &amp; Policy</b>										
3119001	TIC	10	*	*					1.0	Terms of Reference
3119002	Coroners / other services	10	*	*	*				3.0	Commenced
3119003	Partnership Arrangements	10							0.0	
3119004	Call Centre	8	*	*	*	*	*	*	8.0	Complete
3119005	Print Commissioning	8	*	*	*	*			6.0	Field Work Complete
3119006	Community Safety	8	*	*	*	*	*		7.2	Draft Report Issued
3119007	Sponsorship /Tourism/Marketing	10	*	*	*	*	*	*	10.0	Complete
3119008	Property & Estate Management	10							0.0	
3119009	Swansea Bay City Deal - Accounts Return for WAO	10	*	*	*	*	*	*	10.0	Complete
3119010	Wellness Centre	10							0.0	
3119011	Regeneration Strand 1	10	*						0.0	Pre Audit Meeting
3119012	Regeneration Strand 2	10	*						0.0	Pre Audit Meeting
3119013	Regeneration Strand 3	10	*	*	*	*	*		9.0	Draft Report Issued
3119014	Regeneration Strand 4	10	*	*	*	*	*		9.0	Draft Report Issued
3119015	Financial Management Other	5							0.0	
<b>Total Audit Days for Department</b>		<b>139</b>							<b>63.2</b>	
<b>Education &amp; Children</b>										
4119001	Sensory Impairment	8							0.0	
4119002	Children & Young People	10	*	*	*				3.0	Commenced
4119003	Learning Transformation - (Seren)	10	*	*	*	*	*	*	10.0	Complete
4119004	Music Services for Schools	6	*	*	*	*	*	*	6.0	Complete
4119005	Youth Offending & Prevention Service	10							0.0	
4119006	Adoption & Fostering	10	*	*	*	*	*	*	10.0	Complete
4119007	Education Welfare	10	*	*	*	*	*	*	9.0	Draft Report Issued
4119008	Safeguarding	10	*	*	*	*	*	*	0.0	Pre Audit Meeting
4119009	Financial Management Other	5	*	*	*	*	*	*	5.0	Complete
4119010	School Admissions	10	*	*	*	*	*	*	9.0	Draft Report Issued
4119011	Schools DBS	8							0.0	
4119012	Schools Recruitment & Teachers salaries	10							0.0	
4119013	Schools - Governance and Governors	10							0.0	
4119014	School Meals, Free Meals & Primary Free Breakfast Services	10	*	*	*	*	*	*	10.0	Complete
4119015	Schools Questionnaires 1/4	8	*	*	*	*	N/A	N/A	8.0	Complete
4119016	Schools Questionnaires 2/4	8	*	*	*	*	N/A	N/A	8.0	Complete
4119017	Schools Questionnaires 3/4	7	*	*	*	*	N/A	N/A	7.0	Complete
4119018	Schools Questionnaires 4/4	7	*	*	*	*	N/A	N/A	7.0	Complete
4119019	School visits 1/4	8	*	*	*	*	*	*	7.2	Draft Report Issued
4119020	School visits 2/4	8	*	*	*	*	*	*	7.2	Draft Report Issued
4119021	School visits 3/4	8	*	*	*	*	*	*	6.0	Field Work Complete
4119022	School visits 4/4	8	*	*	*	*	*	*	2.4	Commenced
4119023	PDG Access (School Uniform)	5	*	*	*	*	N/A	N/A	5.0	Complete
4119024	Post 16	8	*	*	*	*	GC	GC	8.0	Complete
4119025	Education - EIG - Final Annual Audit	8	*	*	*	*	*	*	8.0	Complete
4119026	Education - EIG - Q1 Audit	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4119027	Education - EIG - Q2 Audit	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4119028	Education - EIG - Q3 Audit	8	*	*	*	*	*	*	8.0	Complete
4119029	Education - EIG - Q4 Audit	5	*	*	*	*	*	*	5.0	Complete
4119030	Education - PDG - Final Annual Audit	8	*	*	*	*	*	*	8.0	Complete
4119031	Education - PDG - Q1	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4119032	Education - PDG - Q2	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4119033	Education - PDG - Q3	8	*	*	*	*	*	*	8.0	Complete
4119034	Education - PDG - Q4	5	N/A	N/A	N/A	N/A	N/A	N/A	5.0	Complete
4119035	Cymraeg I Oedolion	8	*	*	*	*	*	*	8.0	Complete
4119036	Education Welsh Resource Grant	10	*	*	*	*	GC	GC	10.0	Complete

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	<b>Total Audit Days for Department</b>	<b>282</b>							<b>207.8</b>	
	<b>Corporate Services</b>									
5119001	Annual Governance Statement	10	*	*	*	*			7.5	Field Work Complete
5119002	Main Accounting	10							0.0	
5119003	Petty Cash	15	*	*	*	*	*		13.5	Draft Report Issued
5119004	Sundry Expenses	5	*	*	*	*			1.5	Commenced
5119005	Capital Accounting incl.Fixed Asset Register	8	*	*	*	*			6.0	Field Work Complete
5119006	Pensions Payroll System	10	*	*	*	*			1.0	Terms of Reference
5119007	Council Tax	10	*	*	*	*			3.0	Commenced
5119008	Payroll System	15	*	*	*	*	*	*	15.0	Complete
5119009	Creditor Payments	15							0.0	
5119010	Debtors System	15	*	*	*	*			11.3	Field Work Complete
5119011	Trust Funds	20	*	*	*	*	*	*	20.0	Complete
5119012	Wales Pension Partnership - Accounts Return for WAO	10	*	*	*	*	*	*	10.0	Complete
5119013	Burry Port Harbour - Accounts Return for WAO	5	*	*	*	*	*	*	5.0	Complete
5119014	National Fraud Initiative	30	*	*	*	*	N/A	N/A	30.0	Complete
5119015	Financial Management Other	5	*	*	*	*	*	*	4.5	Draft Report Issued
									0.0	
	<b>Total Audit Days for Department</b>	<b>183</b>							<b>128.3</b>	
	<b>Communities</b>									
6119001	Rents	10	*	*	*	*			7.5	Field Work Complete
6119002	Contract Management/Partnerships	8	*	*	*	*	*	*	8.0	Complete
6119003	Residential Care Authority & Private Homes	15	*	*	*	*	*	*	11.3	Field Work Complete
6119004	Day Care	10	*	*	*	*	*	*	7.5	Field Work Complete
6119005	Payment cards in Adult Social Care	8	*	*	*	*	*	*	8.0	Complete
6119006	MHLD	5	*	*	*	*	*	*	5.0	Complete
6119007	Safeguarding	10	*	*	*	*	*	*	3.0	Commenced
6119008	Travellers Sites	8	*	*	*	*	*	*	8.0	Complete
6119009	Meal provision	10	*	*	*	*	*	*	10.0	Complete
6119010	Cultural/Arts Development: Oriel Myrddin	8	*	*	*	*	*	*	7.2	Draft Report Issued
6119011	Museums	5	*	*	*	*	*	*	5.0	Complete
6119012	Amman Valley Leisure Centre	10	*	*	*	*	*	*	9.0	Draft Report Issued
6119013	Carmarthen Leisure Centre	10	*	*	*	*	*	*	7.5	Field Work Complete
6119014	Llanelli Leisure Centre	10	*	*	*	*	*	*	9.0	Draft Report Issued
6119015	East Area Leisure / NERS / Marketing	8	*	*	*	*	*	*	8.0	Complete
6119016	Liesiant Delta Wellbeing Ltd - LATC	20	*	*	*	*	*	*	6.0	Commenced
6119017	Housing Company	20	*	*	*	*	*	*	20.0	Complete
6119018	Financial Management Other	5	*	*	*	*	*	*	5.0	Complete
	<b>Grants</b>									
6119019	Supporting People	20	*	N/A	*	*	*	*	20.0	Complete
6119020	Communities	10	*	*	*	*	GC	GC	10.0	Complete
6119021	Homelessness Grants (x2)	10	*	N/A	*	*	*	*	10.0	Complete
6119022	Rent Smart Wales	5	*	*	*	*	GC	GC	5.0	Complete
6119023	Gosod Syml	5	*	*	*	*	GC	GC	5.0	Complete
6119024	Enablement Grant	10	*	N/A	*	*	GC	GC	10.0	Complete
	<b>Total Audit Days for Department</b>	<b>240</b>							<b>204.95</b>	
	<b>Environment</b>									
7119001	Property Maintenance	10	*	*	*	*	*	*	9.0	Draft Report Issued
7119002	Asset Transfer	10	*	*	*	*	*	*	3.0	Commenced
7119003	Property & Estate Management (sale of assets)	10							0.0	
7119004	Tenancy Management / Housing Voids	8							0.0	
7119005	Cleaning Services	8	*	*	*	*	*	*	7.2	Draft Report Issued
7119006	Grounds Maintenance	10	*	*	*	*	*	*	9.0	Draft Report Issued
7119007	Waste	10							0.0	
7119008	Environmental Enforcement	8	*	*	*	*	*	*	8.0	Complete
7119009	Highway Maintenance (incl. Trunk Roads)	10	*	*	*	*	*	*	3.0	Commenced
7119010	Public transport	10	*	*	*	*	*	*	9.0	Draft Report Issued
7119011	Fleet/Plant Management	8	*	*	*	*	*	*	7.2	Draft Report Issued
7119012	Local Development Plan	10	*	*	*	*	*	*	7.5	Field Work Complete
7119013	Financial Management Other	5	*	*	*	*	*	*	4.5	Draft Report Issued
7119014	Departmental Grants	20	*	*	*	*	*	*	18.0	Draft Report Issued
	<b>Total Audit Days for Department</b>	<b>137</b>							<b>85.4</b>	
	<b>Procurement / Contracts</b>									
8119001	Corporate Procurement	15							0.0	
8119002	Specific Projects (new and post contact review)	20	*	*	*	*	*	*	20.0	Complete
8119003	Capital Maintenance	20	*	*	*	*	*	*	20.0	Complete
8119004	Contract Partnering Selection	10	*	*	*	*	*	*	9.0	Draft Report Issued
8119005	Capital Programme / SASG	10	*	*	*	*	*	*	9.0	Draft Report Issued
8119006	Financial Management Other	5	*	*	*	*	*	*	4.5	Draft Report Issued

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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
<b>Total Audit Days for Department</b>		<b>80</b>							<b>62.5</b>	
<b>Total Approved Plan Days</b>		<b>1240</b>	<b>% Complete to Date</b>			<b>66%</b>			<b>814.0</b>	
<b>Fire</b>										
9119001		8	*	*	*				2.4	Commenced
9119002		8	*	*	*	*	*		7.2	Draft Report Issued
9119003		8	*	*	*	*	*	*	8.0	Complete
9219001		8	*	*	*	*	*	*	8.0	Complete
9219002		5	*	*	*	*	*	*	5.0	Complete
9219003		5	*	*	*				1.5	Commenced
9219004		6	*	*	*	*	*	*	6.0	Complete
9219005		8	*	*	*	*	*	*	8.0	Complete
9219006		8	*	*	*	*	*	*	8.0	Complete
9219007		10	*	*	*	*			7.5	Field Work Complete
9219008		1							0.0	
9219009		10	*	*	*				3.0	Commenced
9219010		10	*	*	*				3.0	Commenced
<b>Total Audit Days for Department</b>		<b>95</b>							<b>67.6</b>	
<b>Additional Work Not Included in Original Plan</b>										
9319001	Cwm	12	*	*	*	*	*		10.8	Draft Report Issued
<b>Total Additional Work</b>		<b>107</b>							<b>78.4</b>	
<b>Total Audit Plan Time</b>		<b>1347</b>							<b>892.4</b>	
<b>Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days</b>							<b>72.0%</b>			