

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	Assurance Level
	Chief Executive						
1119001	PMP Function - Recruitment					0	
1119002	PMP Organisational Development					0	
1119003	Legal					0	
1119004	Democratic Advice and Support	Field Work Complete				0	
1119005	Financial Management Other	Pre Audit Meeting				0	
1119006	Chief Executive Grants (SCWDP Grant)	Commenced				0	
	Information & Communications Audit						
2119001	Security of Information	Commenced				0	
2119002	Licensing	Field Work Complete				0	
2119003	Communications	Field Work Complete				0	
2119004	Computer Assisted Audit Testing (CAATs)	Commenced				0	
2119005	Chief Executives Systems:	Commenced				0	
2119006	Corporate Services Systems:	Complete	0	0	1	1	High
2119007	Education & Children Services Systems					0	
2119008	Communities Systems	Commenced				0	
2119009	Environment Systems	Commenced				0	
2119010	Corporate File Plan	Commenced				0	
2119011	Financial Management Other	Complete	0	0	0	0	Advisory
	Regeneration & Policy						
3119001	TIC	Terms of Reference				0	
3119002	Coroners / other services	Commenced				0	
3119003	Partnership Arrangements					0	
3119004	Call Centre	Complete	0	2	1	3	Acceptable
3119005	Print Commissioning	Field Work Complete				0	
3119006	Community Safety	Draft Report Issued				0	
3119007	Sponsorship /Tourism/Marketing	Complete	0	2	1	3	Acceptable
3119008	Property & Estate Management					0	
3119009	Swansea Bay City Deal - Accounts Return for WAO	Complete	0	0	0	0	WAO Return
3119010	Wellness Centre					0	
3119011	Regeneration Strand 1	Pre Audit Meeting				0	
3119012	Regeneration Strand 2	Pre Audit Meeting				0	
3119013	Regeneration Strand 3	Draft Report Issued				0	
3119014	Regeneration Strand 4	Draft Report Issued				0	
3119015	Financial Management Other					0	
	Education & Children						
4119001	Sensory Impairment					0	
4119002	Children & Young People	Commenced				0	
4119003	Education Other Than At School (EOTAS) - (Seren)	Complete	0	0	1	1	High
4119004	Music Services for Schools	Complete	0	1	0	1	Acceptable
4119005	Youth Offending & Prevention Service					0	
4119006	Adoption & Fostering	Complete	0	2	0	2	Acceptable
4119007	Education Welfare	Draft Report Issued				0	
4119008	Safeguarding	Pre Audit Meeting				0	
4119009	Financial Management Other	Complete	0	0	0	0	Advisory
4119010	School Admissions	Draft Report Issued				0	
4119011	Schools DBS					0	
4119012	Schools Recruitment & Teachers salaries					0	
4119013	Schools - Governance and Governors					0	
4119014	School Meals, Free Meals & Primary Free Breakfast Services	Complete	0	5	0	5	Low
4119015	Schools Questionnaires 1/4	Complete	0	0	0	0	N/A
4119016	Schools Questionnaires 2/4	Complete	0	0	0	0	N/A
4119017	Schools Questionnaires 3/4	Complete	0	0	0	0	N/A
4119018	Schools Questionnaires 4/4	Complete	0	0	0	0	N/A
4119019	School visits 1/4	Draft Report Issued				0	
4119020	School visits 2/4	Draft Report Issued				0	
4119021	School visits 3/4	Field Work Complete				0	
4119022	School visits 4/4	Commenced				0	
4119023	PDG Access (School Uniform)	Complete	0	0	0	0	Advisory
4119024	Post 16	Complete	0	0	0	0	Grant Certificate
4119025	Education - EIG - Final Annual Audit	Complete	0	0	0	0	Grant Certificate
4119026	Education - EIG - Q1 Audit	Complete	0	0	0	0	Grant Certificate
4119027	Education - EIG - Q2 Audit	Complete	0	0	0	0	Grant Certificate
4119028	Education - EIG - Q3 Audit	Complete	0	2	1	3	Acceptable
4119029	Education - EIG - Q4 Audit	Complete	0	0	0	0	Grant Certificate
4119030	Education - PDG - Final Annual Audit	Complete	0	0	0	0	Grant Certificate
4119031	Education - PDG - Q1	Complete	0	0	0	0	Grant Certificate
4119032	Education - PDG - Q2	Complete	0	0	0	0	Grant Certificate
4119033	Education - PDG - Q3	Complete	0	2	1	3	Acceptable
4119034	Education - PDG - Q4	Complete	0	0	0	0	Grant Certificate
4119035	Cymraeg I Oedolion	Complete	0	2	1	3	Acceptable
4119036	Youth Work Strategy Grant	Complete	0	0	0	0	Grant Certificate

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	Assurance Level
Corporate Services							
5119001	Annual Governance Statement	Field Work Complete				0	
5119002	Main Accounting					0	
5119003	Petty Cash	Draft Report Issued				0	
5119004	Sundry Expenses	Commenced				0	
5119005	Capital Accounting incl.Fixed Asset Register	Field Work Complete				0	
5119006	Pensions Payroll System	Terms of Reference				0	
5119007	Council Tax	Commenced				0	
5119008	Payroll System	Complete	0	4	0	4	Acceptable
5119009	Creditor Payments					0	
5119010	Debtors System	Field Work Complete				0	
5119011	Trust Funds	Complete	0	3	0	3	Acceptable
5119012	Wales Pension Partnership - Accounts Return for WAO	Complete	0	0	0	0	WAO Return
5119013	Burry Port Harbour - Accounts Return for WAO	Complete	0	0	0	0	WAO Return
5119014	National Fraud Initiative	Complete	0	0	0	0	N/A
5119015	Financial Management Other	Draft Report Issued				0	
Communities							
6119001	Rents	Field Work Complete				0	
6119002	Contract Management/Partnerships	Complete	0	1	0	1	Acceptable
6119003	Residential Care Authority & Private Homes	Field Work Complete				0	
6119004	Day Care	Field Work Complete				0	
6119005	Payment cards in Adult Social Care	Complete	0	0	0	0	Advisory
6119006	MHLD	Complete	0	1	0	1	Acceptable
6119007	Safeguarding	Commenced				0	
6119008	Travellers Sites	Complete	0	2	0	2	Acceptable
6119009	Meal provision	Complete	0	0	0	0	Advisory
6119010	Cultural/Arts Development: Oriel Myrddin	Draft Report Issued				0	
6119011	Museums	Complete	0	3	0	3	Acceptable
6119012	Amman Valley Leisure Centre	Draft Report Issued				0	
6119013	Carmarthen Leisure Centre	Field Work Complete				0	
6119014	Llanelli Leisure Centre	Draft Report Issued				0	
6119015	East Area Leisure / NERS / Marketing	Complete	0	1	2	3	Acceptable
6119016	Llesiant Delta Wellbeing Ltd - LATC	Commenced				0	
6119017	Housing Company	Complete	0	0	0	0	Advisory
6119018	Financial Management Other	Complete	0	0	0	0	N/A
Grants							
6119019	Supporting People	Complete	0	2	2	4	Acceptable
6119020	Communities	Complete	0	0	0	0	Grant Certificate
6119021	Homelessness Grants (x2)	Complete	1	1	1	3	Low
6119022	Rent Smart Wales	Complete	0	0	0	0	Grant Certificate
6119023	Gosod Syml	Complete	0	0	0	0	Grant Certificate
6119024	Enablement Grant	Complete	0	0	0	0	Grant Certificate
Environment							
7119001	Property Maintenance	Draft Report Issued				0	
7119002	Asset Transfer	Commenced				0	
7119003	Property & Estate Management (sale of assets)					0	
7119004	Tenancy Management / Housing Voids					0	
7119005	Cleaning Services	Draft Report Issued				0	
7119006	Grounds Maintenance	Draft Report Issued				0	
7119007	Waste					0	
7119008	Environmental Enforcement	Complete	0	1	0	1	Acceptable
7119009	Highway Maintenance (incl. Trunk Roads)	Commenced				0	
7119010	Public transport	Draft Report Issued				0	
7119011	Fleet/Plant Management	Draft Report Issued				0	
7119012	Local Development Plan	Field Work Complete				0	
7119013	Financial Management Other	Draft Report Issued				0	
7119014	Departmental Grants	Draft Report Issued				0	
Procurement / Contracts							
8119001	Corporate Procurement					0	
8119002	Specific Projects (new and post contact review)	Complete	0	0	0	0	High
8119003	Capital Maintenance	Complete	0	0	0	0	High
8119004	Contract Partnering Selection	Draft Report Issued				0	
8119005	Capital Programme / SASG	Draft Report Issued				0	
8119006	Financial Management Other	Draft Report Issued				0	