

INTERNAL AUDIT PLAN 2020/21											
2020/21	% Plan Completion to Date		81.2%			Mar-21					
Job No	Departments	Days Planned	Pre-Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Status	Assurance Rating / Engagement Type	
Fundamentals											
1120002	Council Tax	15	*	*	*	*	*		Draft Report Issued		
1120003	Creditors	40	*	*	*				Commenced		
1120004	Income	20	*	*	*	*			Field Work Complete		
1120005	Main Accounting	20	*	*	*				Commenced		
1120006	National Fraud Initiative (NFI) - Mortality Screening	10	Participation in full NFI Exercise in 2021/22					/	2021/22		
5120007	Payroll	40	*	*	*	*	*		Draft Report Issued		
1120008	Treasury Management - Loans & Investments (CCC and DPF)	15	*	*	*	*	*		Draft Report Issued		
	Total Audit Days for Fundamentals	160									
Corporate Governance Assurance											
2120001	Annual Governance Statement/Corp Gov Arrangements	20	*	*	*	*			Field Work Complete		
2120002	Performance Management	20	Deferred due to Redeployment of staff					/	Deferred		
2120003	Risk Management Arrangements	15	*	*	*				Commenced		
2120004	Wellbeing of Future Generations Act	20	*	*	*				Commenced		
2120005	Whistleblowing	15	*	*	*	*	*		Draft Report Issued		
	Total Audit Days for Corporate Governance Assurance	90									
COVID-19											
3120001	COVID-19 Decision-Making Process	20	*	*	*				Commenced		
3120002	COVID-19 Expenditure	20	*	*	*				Commenced		
5420002	COVID-19 Systems and Processes (advice and support)	50	N/A	N/A	*	*	/	*	Complete	Consultation	
3120003	COVID-19 Systems and Processes (Evaluation and recs)	40	*	*	*				Commenced		
5420001	COVID-19: Free School Meals Payment Process	20	N/A	N/A	*	*	/	*	Complete	Consultation	
3120004	COVID-19 Self Isolation Payment Process	10	*	N/A	*				Commenced		
	Total Audit Days for COVID-19	160									
Corporate Review Work											
4120005	Local Authority Trading Companies	20									
4120006	Procurement	30	*	*	*	*			Field Work Complete		
4120007	Safeguarding (Children)	10	*	*	*	*			Field Work Complete		
4120007	Safeguarding (Adults)	10	*	*	*				Commenced		
4120008	Staffing Matters (e.g. DBS Overtime Flexi Leave)	20	*	*	*	*			Field Work Complete		
	Total Audit Days for Corporate Review Work	90									
Counter Fraud											
1120007	National Fraud Initiative (NNDR) - review of COVID-19 Grants	20	*	N/A	*	*	*	*	Complete	Consultation	
1120009	Proactive Fraud Testing	20	*	N/A	*				Commenced		
1120010	Fraud Prevention, Detection and Investigation	30	N/A	N/A	*				Commenced		
	Total Audit Days for Counter Fraud Work	70									
Grants & Certification											
5120005	Burry Port Harbour	10	*	N/A	*	*	/	*	Complete	Accounts Return	
5220001	Children & Communities Grant	25	*	*	*	*	*	*	Complete	Grant Certification	
4120003	Education Improvement Grant - EOY	10	*	*	*	*	*	*	Complete	Grant Certificate	
5220003	Education Improvement Grant - Q3	15	*	*	*	*	*	*	Complete	Acceptable	

5220004	Education Improvement Grant - Q4	5	*	*	*	*	/	*	Complete	Certificate
6120005	Enable Grant	10	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Homelessness	12	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Rent Smart Wales	10	*	*	*	*	*	*	Complete	Grant Certificate
6120004	HSG - Supporting People	13	*	*	*	*	*	*	Complete	Grant Certificate
5220005	Local Authority Education Grant	20	*	*	*	*	*	*	Complete	Grant Certificate
5220006	Other Grants (where assurance is required for sign-off)	20	*	*	*	*	/	*	Complete	Grant Certificate
5220007	Post 16 Grant	10	*	N/A	*	*	*	*	Complete	Grant Certificate
4120004	Pupil Deprivation Grant - EOY	10	*	*	*	*	*	*	Complete	Grant Certificate
5220008	Pupil Deprivation Grant - Q3	15	*	*	*	*	*	*	Complete	Acceptable
5220009	Pupil Deprivation Grant - Q4	5	*	*	*	*	/	*	Complete	Certificate
5120002	Trust Funds - Arbour Stephens	5	*	*	*	*	*	*	Complete	Certificate
5120004	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	*	*	Complete	Certificate
5120003	Trust Funds - Minnie Morgan	5	*	*	*	*	*	*	Complete	Certificate
5120001	Trust Funds - Oriol Myrddin	5	*	*	*	*	*	*	Complete	Certificate
5220002	Wales Pension Partnership	5	*	N/A	*	*	*	*	Complete	Accounts Return
5220010	Regional Development Co-ordinator Grant	5	*	*	*	*	*	*	Complete	Grant Certificate
	Total Audit Days for Grants & Certification	220								
Chief Executive's Department (not incl IT)										
8120001	Property Management (Follow Up)	10								
1120001	Departmental Expenditure (CEX)	10	*	*	*	*	*	*	Complete	Acceptable
8120002	Pentre Awel	10	*	*	*				Commenced	
8120003	Net Zero Carbon	10	*	*	*	*	*	*	Draft Report Issued	
8120004	Regeneration Strand	10	*	*	*				Commenced	
	Total Audit Days for Chief Executive's Department (not incl IT)	50								
Chief Executive's Department: IT										
4120001	Covid-19 CAATS Analysis (FSM)	10	*	*	*	*	*	*	Complete	Consultation
8220001	Office 365, including TEAMS and Sharepoint	15	*	*	*	*	*	*	Complete	Consultation
8220002	Bring Your Own Device	5	*	*	*	*			Field Work Complete	
8220003	Cyber Security	10	*	*	*				Commenced	
	Total Audit Days for Chief Executive's Department: IT	40								
Communities										
6120001	Departmental Expenditure: Leisure	15	*	*	*	*	*	*	Complete	Acceptable
6120002	Departmental Expenditure: Housing	10	*	*	*	*	*	*	Complete	Acceptable
6120003	Departmental Expenditure: Social Care	10	*	*	*	*	*	*	Complete	Acceptable
8320001	Sport Wales/Active Communities	10	*	*	*	*	*	*	Draft Report Issued	
8320002	Ski Centre Follow Up	5	*	*	*	*	*	*	Complete	High
8320003	Financial Assessments & Collections	10	*	*	*	*	*	*	Complete	High
	Total Audit Days for Communities	60								
Corporate Services										
5120006	Departmental Expenditure (Corp Serv)	10	*	*	*	*	*	*	Complete	Acceptable
8420001	Financial Management Other	10	*	*	*	*	*	*	Complete	Consultation
	Total Audit Days for Corporate Services	20								
Education & Children										
4120002	Departmental Expenditure (Education)	10	*	*	*	*	*	*	Complete	Acceptable
8520001	Fostering	10	*	*	*	*	*	*	Draft Report Issued	
8520002	School Meals/ParentPay	10	*	*	*	*	*	*	Complete	Consultation
8520003	School Questionnaires	20	*	*	*	*	/	*	Complete	Self-Assessment

