

INTERNAL AUDIT PLAN 2019/20										
2019/20	% Plan Completion to Date	52.8%			60% Target December 2019					
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
Chief Executive										
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							0.0	
1119005	Financial Management Other	5							0.0	
1119006	Chief Executive Grants (SCWDP Grant)	8	*	*	*				2.4	Commenced
Total Audit Days for Department		51							2.4	
Information & Communications Audit										
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							0.0	
2119005	Chief Executives Systems:	10	*	*	*				3.0	Commenced
2119006	Corporate Services Systems:	8	*	*	*				2.4	Commenced
2119007	Education & Children Services Systems	10							0.0	
2119008	Communities Systems	15	*	*	*				4.5	Commenced
2119009	Environment Systems	15							0.0	
2119010	Corporate File Plan	10	*	*	*				3.0	Commenced
2119011	Financial Management Other	5	*	*	*	*	N/A	N/A	5.0	Complete
Total Days Computer Audits		128							35.9	
Regeneration & Policy										
3119001	TIC	10							0.0	
3119002	Coroners / other services	10	*	*	*				3.0	Commenced
3119003	Partnership Arrangements	10							0.0	
3119004	Call Centre	8	*	*	*	*	*		7.2	Draft Report Issued
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	*						0.0	Pre Audit Meeting
3119014	Regeneration Strand 4	10	*	*	*	*	*		9.0	Draft Report Issued
3119015	Financial Management Other	5							0.0	
Total Audit Days for Department		139							52.4	
Education & Children										
4119001	Sensory Impairment	8							0.0	
4119002	Children & Young People Participation	10							0.0	
4119003	Education Other Than At School (EOTAS) - (Seren)	10	*	*	*	*			7.5	Field Work Complete
4119004	Music Services for Schools	6	*						0.0	Pre Audit Meeting
4119005	Youth Offending & Prevention Service	10							0.0	
4119006	Adoption & Fostering	10	*	*	*	*	*		9.0	Draft Report Issued
4119007	Education Welfare	10	*	*	*	*	*		7.5	Field Work Complete
4119008	Safeguarding	10							0.0	
4119009	Financial Management Other	5	*	*	*	*	*	*	5.0	Complete
4119010	School Admissions	10	*	*	*	*	*		7.5	Field Work Complete
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	*	*	*	*	*		9.0	Draft Report Issued
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							0.0	
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	*	*	*	*	*	*	7.2	Draft Report Issued
4119029	Education - EIG - Q4 Audit	5							0.0	
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	*	*	*	*			2.4	Commenced
4119034	Education - PDG - Q4	5							0.0	
4119035	Cymraeg I Oedolion	8	*	*	*	*			2.4	Commenced
4119036	Education Welsh Resource Grant	10	*	*	*	*	GC	GC	10.0	Complete

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	Total Audit Days for Department	282							166.9	
	Corporate Services									
5119001	Annual Governance Statement	10	*	*	*	*			7.5	Field Work Complete
5119002	Main Accounting	10							0.0	
5119003	Petty Cash	15	*	*	*	*			11.3	Field Work Complete
5119004	Sundry Expenses	5	*	*	*				1.5	Commenced
5119005	Capital Accounting incl.Fixed Asset Register	8	*	*	*				2.4	Commenced
5119006	Pensions Payroll System	10							0.0	
5119007	Council Tax	10							0.0	
5119008	Payroll System	15	*	*	*	*	*		13.5	Draft Report Issued
5119009	Creditor Payments	15							0.0	
5119010	Debtors System	15	*	*	*	*			11.3	Field Work Complete
5119011	Trust Funds	20	*	*	*	*	*		18.0	Draft Report Issued
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	
	Total Audit Days for Department	183							114.9	
	Communities									
6119001	Rents	10	*	*	*	*			7.5	Field Work Complete
6119002	Contract Management/Partnerships	8	*	*	*	*	*	*	8.0	Complete
6119003	Residential Care Authority & Private Homes	15	*	*	*	*			4.5	Commenced
6119004	Day Care	10	*	*	*	*			7.5	Field Work Complete
6119005	Payment cards in Adult Social Care	8							0.0	
6119006	MHLD	5	*	*	*	*	*	*	5.0	Complete
6119007	Safeguarding	10							0.0	
6119008	Travellers Sites	8	*	*	*	*	*		7.2	Draft Report Issued
6119009	Meal provision	10	*	*	*	*			3.0	Commenced
6119010	Cultural/Arts Development: Oriel Myrddin	8	*	*	*	*	*		7.2	Draft Report Issued
6119011	Museums	5	*	*	*	*	*	*	5.0	Complete
6119012	Amman Valley Leisure Centre	10	*	*	*	*			3.0	Commenced
6119013	Carmarthen Leisure Centre	10	*	*	*	*			3.0	Commenced
6119014	Llanelli Leisure Centre	10	*	*	*	*			3.0	Commenced
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
	Grants									
6119019	Supporting People	20	*	N/A	*	*	*	*	20.0	Complete
6119020	Communities	10							0.0	
6119021	Homelessness Grants (x2)	10	*	*	*	*	*		9.0	Draft Report Issued
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
	Total Audit Days for Department	240							151.9	
	Environment									
7119001	Property Maintenance	10	*	*	*	*	*		9.0	Draft Report Issued
7119002	Asset Transfer	10							0.0	
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	*	*	*	*			3.0	Commenced
7119011	Fleet/Plant Management	8	*	*	*	*	*		7.2	Draft Report Issued
7119012	Local Development Plan	10	*	*	*	*			3.0	Commenced
7119013	Financial Management Other	5	*	*	*	*	*		4.5	Draft Report Issued
7119014	Departmental Grants	20	*	*	*	*	*		18.0	Draft Report Issued
	Total Audit Days for Department	137							71.9	
	Procurement / Contracts									
8119001	Corporate Procurement	15							0.0	
8119002	Specific Projects (new and post contact review)	20	*	*	*	*	*	*	20.0	Complete
8119003	Capital Maintenance	20	*	*	*	*	*		18.0	Draft Report Issued
8119004	Contract Partnering Selection	10	*	*	*	*	*		9.0	Draft Report Issued
8119005	Capital Programme / SASG	10	*	*	*	*	*		7.5	Field Work Complete
8119006	Financial Management Other	5	*	*	*	*	*		4.5	Draft Report Issued

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Total Audit Days for Department		80			% Complete to Date				59	
Total Approved Plan Days		1240			% Complete to Date			52.8%	655.3	
Fire										
9119001		8							0.0	
9119002		8	*	*	*	*			6.0	Field Work Complete
9119003		8	*	*	*	*			2.4	Commenced
9219001		8	*	*	*	*			8.0	Complete
9219002		5	*	*	*	*	*	*	5.0	Complete
9219003		5	*	*					0.5	Terms of Reference
9219004		6	*	*	*				1.8	Commenced
9219005		8	*	*	*	*			2.4	Commenced
9219006		8	*	*	*				2.4	Commenced
9219007		10	*	*	*				3.0	Commenced
9219008		1							0.0	
9219009		10	*	*	*				3.0	Commenced
9219010		10	*	*	*				3.0	Commenced
Total Audit Days for Department		95			% Complete to Date				37.5	
Additional Work Not Included in Original Plan										
9319001	Cwm	10	*	*	*	*	*		9.0	Draft Report Issued
Total Additional Work		105			% Complete to Date				46.5	
Total Audit Plan Time		1345			% Complete to Date			52.2%	701.8	
Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days							56.6%			