

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
	Chief Executive										
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										
2119001	Security of Information	Commenced				0	0	0	0	0	
2119002	Licensing	Field Work Complete				0	0	0	0	0	
2119003	Communications	Field Work Complete				0	0	0	0	0	
2119004	Computer Assisted Audit Testing (CAATs)					0	0	0	0	0	
2119005	Chief Executives Systems:	Commenced				0	0	0	0	0	
2119006	Corporate Services Systems:	Commenced				0	0	0	0	0	
2119007	Education & Children Services Systems					0	0	0	0	0	
2119008	Communities Systems	Commenced				0	0	0	0	0	
2119009	Environment Systems					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										
	Regeneration & Policy										
3119001	TIC					0	0	0	0	0	
3119002	Coroners / other services	Commenced				0	0	0	0	0	
3119003	Partnership Arrangements					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										
	Education & 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								
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
	Total Audit 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	Day Care	Field Work Complete				0	0	0	0	0	
6119005	Payment cards in Adult Social Care					0	0	0	0	0	
6119006	MHLD	Complete	0	1	0	1	0	3	0	3	Acceptable
6119007	Safeguarding					0	0	0	0	0	
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	
6119017	Housing Company	Complete	0	0	0	0	0	0	0	0	Advisory
6119018	Financial Management Other	Complete	0	0	0	0	0	0	0	0	N/A
	Grants										
6119019	Supporting People	Complete	0	2	2	4	0	6	2	8	Acceptable
6119020	Communities					0	0	0	0	0	
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										
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	
7119007	Waste					0	0	0	0	0	
7119008	Environmental Enforcement	Complete	0	1	0	1	0	3	0	3	Acceptable
7119009	Highway Maintenance (incl. Trunk Roads)	Commenced				0	0	0	0	0	
7119010	Public transport	Commenced				0	0	0	0	0	
7119011	Fleet/Plant Management	Draft Report Issued				0	0	0	0	0	
7119012	Local Development Plan	Commenced				0	0	0	0	0	
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								
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
	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										
	Fire										
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	Community 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										
	Additional Work Not Included in Original Plan										
9319001	Cwm	Draft Report Issued				0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
						0	0	0	0	0	
	Total Additional Work										
	Total Audit Plan Time										

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										