

INTERNAL AUDIT PLAN 2016/17		REPORTING					
Job No	Departments	Issues				Score	Assurance Level
		No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues		
	Chief Executive						
1116001	Corporate Strategy/Policy Making				0	0	
1116002	Partnership Arrangements				0	0	
1116003	Call Centre				0	0	
1116004	Print Commissioning				0	0	
1116005	Annual Governance Statement				0	0	
1116006	Coroners / other services	0	2	0	2	6	Acceptable
1116007	Registrars				0	0	
1216001	HR Function	0	0	0	0	0	N/A
1216002	Staffing Policies	0	0	0	0	0	High
1216003	Declaration of Interest				0	0	
1216004	Democratic Advice and Support	0	0	0	0	0	Acceptable
1316001	Financial Management Other	0	0	0	0	0	
	Education & Children						
2116001	Community Learning	0	0	2	2	2	Acceptable
2116002	Youth Support Service				0	0	
2216001	Information Management				0	0	
2216002	School Meals / Catering Services				0	0	
2316001	Additional Learning Needs				0	0	
2316002	School Improvement				0	0	
2316003	Schools Organisation				0	0	
2316004	Teachers starters & leavers				0	0	
2416001	Child Support				0	0	
2416002	Family Support				0	0	
2416003	Partnering / Procurement				0	0	
2416004	Education Welfare				0	0	
2416005	Safeguarding				0	0	
2516001	Financial Management Other				0	0	
	Grants						
3116001	Physical Regeneration				0	0	
3116002	Business Development				0	0	
3116003	Community Funding				0	0	
3216001	Departmental Grants	0	3	1	4	10	Acceptable
3216002	Foundation Stage	0	0	0	0	0	N/A
3216003	DCELLS Post 16	0	1	0	1	3	Acceptable
3216004	Bus operators Grant				0	0	
3216005	Supporting People				0	0	
3216006	Education - EIG - Q1 Audit	0	0	0	0	0	N/A
3216007	Education - EIG - Q2 Audit				0	0	
3216008	Education - EIG - Q3 Audit				0	0	
3216009	Education - EIG - Q4 Audit				0	0	
3216010	Education - EIG - Final Annual Audit				0	0	
3216011	Education - PDG				0	0	
3316001	Financial Management Other				0	0	

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	Corporate Services						
4116001	Risk Management				0	0	
4216001	Main Accounting				0	0	
4216002	VAT				0	0	
4216003	Capital Accounting incl.Fixed Asset				0	0	
4216004	Treasury Management				0	0	
4216005	Investments				0	0	
4216006	Pensions Payroll System	0	0	0	0	0	High
4216007	Housing Benefits				0	0	
4216008	Council Tax				0	0	
4216009	NNDR				0	0	
4216010	Payroll System	1	2	0	3	11	Acceptable
4216011	Creditor Payments				0	0	
4216012	Debtors System				0	0	
4216013	Cash Receipting				0	0	
4216014	Banking				0	0	
4216015	Travel & Subsistence System				0	0	
4216016	Trust Funds	0	0	0	0	0	Acceptable
4316001	Financial Management Other				0	0	
	Corporate Property (to be allocated to relevant Dept)						
	Property Management				0	0	
	Estate Management				0	0	
	Provision / livestock markets				0	0	
	Communities						
5116001	Disability/Adaptations/Renewals/ARBE				0	0	
5116002	Houses for Homes	0	0	0	0	0	High
5116003	Tenancy Mgt				0	0	
5116004	Voids				0	0	
5116005	Homelessness				0	0	
5116006	Rents	0	0	0	0	0	High
5116007	HRA				0	0	
5216001	Contract Management/Partnerships				0	0	
5216002	Direct Payments	0	1	0	1	3	Acceptable
5216003	Home Care				0	0	
5216004	Residential Care Authority & Private	0	0	0	0	0	Acceptable
5216005	Day Care	0	4	2	6	14	Acceptable
5216006	Learning Disabilities				0	0	
5216007	Transport				0	0	
5216008	Safeguarding				0	0	
5216009	Supporting People				0	0	
5316001	Public Health / Protection				0	0	
5416001	Arts Development				0	0	
5416002	Cultural: Oriel Myrddin	0	2	2	4	8	Acceptable
5416003	Heritage Services				0	0	
5416004	Libraries				0	0	
5516001	Amman Valley				0	0	
5516002	Carmarthen	0	3	1	4	10	Acceptable
5516003	Llanelli				0	0	
5516004	East Area Leisure / NERS / Marketing				0	0	
5516005	Arrangements for Leisure Trust Status	0	0	0	0	0	N/A
5516006	Partnerships				0	0	
5516007	Pembrey Country Park / MCP / Country				0	0	
5516008	Ski Centre				0	0	
5516009	Burry Port Harbour				0	0	
5616001	Financial Management Other				0	0	

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Environmental Services							
6116001	Building Maintenance				0	0	
6116002	Procurement				0	0	
6116003	Grounds Maintenance				0	0	
6116004	Urban Parks				0	0	
6216001	Highway Maintenance (incl. Trunk				0	0	
6216002	Waste Services				0	0	
6216003	Trade Waste				0	0	
6316001	Public transport				0	0	
6316002	School & College Transport				0	0	
6316003	Fleet/Plant Management				0	0	
6316004	Traffic Management	0	3	0	3	9	Acceptable
6316005	Road Safety	0	0	1	1	1	Acceptable
6416001	Development Control	0	0	0	0	0	High
6416002	Building Control	0	0	0	0	0	High
6516001	Financial Management Other				0	0	
Procurement / Contracts							
6616001	Departmental Procurement Revenue				0	0	
6616002	Corporate Procurement				0	0	
6616003	Asset Management				0	0	
6616004	Framework contracts				0	0	
6616005	Specific Projects				0	0	
6616006	Capital Maintenance				0	0	
6616007	MEP & sample of specific projects /				0	0	
6616008	Post Contract				0	0	
6716001	Financial Management Other				0	0	
Computer Audit							
4416001	Security of Information				0	0	
4416002	Operating Systems				0	0	
4416003	Social Media				0	0	
4416004	Internet Security				0	0	
4416005	Licensing				0	0	
4416006	Communications				0	0	
4416007	Computer Assisted Audit	0	0	0	0	0	High
4416008	- Agresso Developments				0	0	
4416009	- Resource Link	0	0	0	0	0	High
4416010	- Payment Cards				0	0	
4416011	- Education & Children Services				0	0	
4416012	Social Care & Housing				0	0	
4416013	Other Systems - Total Mobile				0	0	
4516001	Financial Management Other				0	0	

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	School Audits						
	Primary Schools						
2616001	Meithryn Rhydaman	0	2	3	5	9	Acceptable
2616002	Cefneithin C.P.	0	2	1	3	7	Acceptable
2616003	Llechyfedach C.P. School				0	0	
2616004	Ysgol Gynradd Gorslas	0	2	0	2	6	Acceptable
2616005	Ysgol Gynradd Ponthenri				0	0	
2616006	Bancfelin C.P. School				0	0	
2616007	Meidrim C.P. School				0	0	
2616008	Ysgol Gynradd Llanedi				0	0	
2616009	Ysgol Gynradd Ffairfach				0	0	
2616010	Ysgol Gynradd Llanwrda				0	0	
2616011	Ysgol Gynradd Bro Brynach				0	0	
2616012	Ysgol G. Llanpumsaint				0	0	
2616013	Ysgol G. Mynyddygarreg				0	0	
2616014	Johnstown C.P. School				0	0	
2616015	Ysgol Gynradd Bynea	0	1	2	3	5	Acceptable
2616016	Dafen C.P. School				0	0	
2616017	Llangennech Infants School				0	0	
2616018	Furnace C.P. School				0	0	
2616019	Copperworks Infant & Nursery School	0	1	3	4	6	Acceptable
2616020	Maes y Morfa				0	0	
2616021	Old Road C.P. Primary School				0	0	
2616022	Ysgol Llanstephan				0	0	
2616023	Ysgol Gynradd Llannon	0	1	0	1	3	Acceptable
2616024	Myrddin C.P. School	0	1	2	3	5	Acceptable
2616025	Swiss Valley C.P. School.				0	0	
2616026	Ysgol Gymraeg Rhydaman				0	0	
2616027	Llandybie C.P. School	0	3	3	6	12	Acceptable
2616028	Ysgol Llanybydder	0	2	2	4	8	Acceptable
2616029	Burry Port Community School	0	0	0	0	0	Acceptable
2616030	Ysgol Wirfoddol Abergwili				0	0	
2616031	Tremollet V.C.P.				0	0	
2616032	Laugharne V.C.P. School	0	0	1	1	1	Acceptable
2616033	Ys Gynradd Wirfoddol Llanddarog	0	1	4	5	7	Acceptable
2616034	Ysgol Gynradd Wirfoddol Llanllwni	0	1	4	5	7	Acceptable
2616035	Ysgol Wirfoddol Penboyr				0	0	
	Primary Schools Totals						
	Secondary Schools						
2716001	Glanymor				0	0	
2716002	Strade				0	0	
2716003	Bryngwyn				0	0	
2716004	Maesygwendraeth				0	0	
2716005	QE High School				0	0	
	Secondary Schools Totals						
	Special Schools						
2816001	Rhydygors				0	0	
2816002	Heol Goffa	0	2	2	4	8	Acceptable

SCORING METHODOLOGY

Star Rating	Weighting
3* Issue	5 Points
2* Issue	3 Points
1* Issue	1 Point

ASSURANCE LEVEL - BASED ON NUMBER OF RECOMMENDATIONS AND WEIGHTING

Scores	Assurance Level
0 to 2	HIGH: Good controls consistently applied. Low Risk of not meeting objectives. Low Risk of fraud, negligence, loss, damage to reputation.
3 to 10 with no 3* recommendations	ACCEPTABLE: Moderate controls, some areas of non compliance to agreed controls. Medium/Low risk of not meeting objectives. Medium/Low risk of fraud, negligence, loss, damage to reputation.
11 & over or including 1 or more 3* recommendations	LOW: Inadequate controls High risk of not meeting objectives. High risk of fraud, negligence, loss, damage to reputation.