

INTERNAL AUDIT PLAN 2017/18			REPORTING								
2017/18			Issues				3*=5	2*=3	1*=1	Score	Assurance Level
Job No	Departments	Status	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues					
	Chief Executive										
1117001	Corporate Strategy/Policy Making	Draft Report Issued				0	0	0	0		
1117002	Partnership Arrangements					0	0	0	0		
1117003	Annual Governance Statement	Draft Report Issued				0	0	0	0		
1117004	HR Function - Recruitment / Safer Recruitment DBS					0	0	0	0		
1117005	Health & Safety	Field Work Complete				0	0	0	0		
1117006	Staffing Policies					0	0	0	0		
1117007	Declaration of Interest					0	0	0	0		
1117008	Community Safety	Pre Audit Meeting				0	0	0	0		
1117009	Electoral Services	Complete	0	3	0	3	0	9	0	9	
1117010	Markets					0	0	0	0		
1117011	Sponsorship /Tourism/Marketing					0	0	0	0		
1117012	Property Management	Field Work Complete				0	0	0	0		
1117013	Estate Management	Field Work Complete				0	0	0	0		
1117014	European Programme					0	0	0	0		
1117015	Economic Development					0	0	0	0		
1117016	City Deal - Governance Arrangements	Field Work Complete				0	0	0	0		
1117017	Wellness Centre					0	0	0	0		
1117018	Community Regeneration					0	0	0	0		
1117019	RLP					0	0	0	0		
1117020	Performance/Governance/Improvement Plans					0	0	0	0		
1117021	Physical Regeneration	Pre Audit Meeting				0	0	0	0		
1117022	Well Being of Future Generations Act					0	0	0	0		
1117023	Welsh Language Standards	Commenced				0	0	0	0		
1117024	Information Governance / Retention of records / CFP					0	0	0	0		
1117025	Property & Major Projects					0	0	0	0		
1117026	Financial Management Other	Draft Report Issued				0	0	0	0		
	Grants										
1117027	Business Development	Pre Audit Meeting				0	0	0	0		
1117028	Third Party Grants Monitoring					0	0	0	0		
1117029	Grants Data Base	Complete	0	0	0	0	0	0	0	N/A	
						0	0	0	0		
	Computer Audits										
2117001	Computer Assisted Audit Testing(CAATs)	Field Work Complete				0	0	0	0		
2117002	- Agresso Developments					0	0	0	0		
2117003	- Resource Link	Complete	0	0	0	0	0	0	0	High	
2117004	- Payment Cards					0	0	0	0		
2117005	- Education & Children Services					0	0	0	0		
2117006	National Fraud Initiative	Complete	0	0	0	0	0	0	0	N/A	
2117007	Asset Management (Central/Other)	Commenced				0	0	0	0		
2117008	Collaborative Working					0	0	0	0		
2117009	Networks inc WiFi	Commenced				0	0	0	0		
2117010	Business Continuity Planning	Field Work Complete				0	0	0	0		
2117011	Installations	Complete	0	2	1	3	0	6	1	7	
2117012	Active Directory	Draft Report Issued				0	0	0	0		
2117013	Schools	Commenced				0	0	0	0		
2117014	Other Systems - (Not TASK)	Complete	0	2	0	2	0	6	0	6	
2117015	Digital Transformation					0	0	0	0		
2117016	Agile Working					0	0	0	0		
	Education & Children										
	School Improvement										
3117001	School Effectiveness Support Services					0	0	0	0		
	Education Services										
3117002	Special Educational Needs					0	0	0	0		
3117003	School Redundancy & EVR	Commenced				0	0	0	0		
	Strategic Development										
3117004	School Milk & Uniform Grants	Commenced				0	0	0	0		
3117005	School Meals & Primary Free Breakfast Services	Complete	0	2	2	4	0	6	2	8	
	Curriculum & Well being										
3117006	Youth Service					0	0	0	0		
3117007	Youth Service short term grants					0	0	0	0		
3117008	Adult & Community Learning	Pre Audit Meeting				0	0	0	0		
	Children's Services										
3117009	Safeguarding	Commenced				0	0	0	0		
3117010	Financial Management Other					0	0	0	0		
	Schools:										
3117011	Cross Hands C.P. School.	Draft Report Issued				0	0	0	0		
3117012	Drefach C.P. School.	Draft Report Issued				0	0	0	0		
3117013	Llangain C.P. School.	Complete	0	1	2	3	0	3	2	5	
3117014	Bancffosfelin C.P. School.	Draft Report Issued				0	0	0	0		
3117015	Pontyberem C.P. School.	Complete	0	0	0	0	0	0	0	High	
3117016	Gwynfryn C.P. School.					0	0	0	0		
3117017	Carway C.P. School.					0	0	0	0		
3117018	Pontiets C.P. School					0	0	0	0		
3117019	Five Roads C.P. School					0	0	0	0		
3117020	Maesybont C.P. School.					0	0	0	0		
3117021	Blaenau C.P. School	Draft Report Issued				0	0	0	0		
3117022	Ysgol G. Mynyddgarreg					0	0	0	0		
3117023	Trimsaran C.P. School	Field Work Complete				0	0	0	0		
3117024	Copperworks Infant & Nursery School	Draft Report Issued				0	0	0	0		
3117025	Lakefield C.P. School.	Draft Report Issued				0	0	0	0		
3117026	Peniel C.P. School.	Complete	0	1	0	1	0	3	0	3	
3117027	Bro Banw	Draft Report Issued				0	0	0	0		
3117028	Saron C.P. School	Complete	0	1	0	1	0	3	0	3	
3117029	Llangadog C.P. School					0	0	0	0		

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3117030	Ysgol Y Dderwen, Carmarthen	Complete	0	0	1	1	0	0	1	1	High
3117031	Llanmiloe C.P. School					0	0	0	0	0	
3117032	Bryn C.P. School	Draft Report Issued				0	0	0	0	0	
3117033	Y Felin (Felinfoel)	Complete	0	2	0	2	0	6	0	6	Acceptable
3117034	Ysgol Brynsierfel, Llanelli.	Complete	0	2	1	3	0	6	1	7	Acceptable
3117035	Llangunor C.P. School.	Complete	0	3	0	3	0	9	0	9	Acceptable
3117036	Ysgol Gymraeg Teilo Sant, Llandeilo.					0	0	0	0	0	
3117037	Penygaer C.P. School.	Complete	0	4	2	6	0	12	2	14	Low
3117038	Bigyn C.P. School.					0	0	0	0	0	
3117039	Richmond Park C.P. School.	Complete	0	1	4	5	0	3	4	7	Acceptable
3117040	Ysgol Griffith Jones	Draft Report Issued				0	0	0	0	0	
3117041	St. Mary's R.C.P. School. Llanelli.	Draft Report Issued				0	0	0	0	0	
3117042	St. Mary's R.C.P. School, Carmarthen.	Draft Report Issued				0	0	0	0	0	
3117043	Model V.A.P. School.	Complete	0	4	3	7	0	12	3	15	Low
3117044	Ysgol Bro Dinefwr					0	0	0	0	0	
3117045	Dyffryn Amman					0	0	0	0	0	
3117046	Dyffryn Taf	Complete	0	1	3	4	0	3	3	6	Acceptable
3117047	Ysgol Gyfun Emlyn					0	0	0	0	0	
3117048	Bro Myrddin	Complete	0	3	2	5	0	9	2	11	Low
	Grants										
3117049	School Uniform	Complete	0	3	1	4	0	9	1	10	Acceptable
3117050	Post 16					0	0	0	0	0	
3117051	Education - EIG - Q1 Audit	Complete	0	0	0	0	0	0	0	0	N/A
3117052	Education - EIG - Q2 Audit	Complete	0	0	0	0	0	0	0	0	N/A
3117053	Education - EIG - Q3 Audit					0	0	0	0	0	
3117054	Education - EIG - Q4 Audit					0	0	0	0	0	
3117055	Education - EIG - Final Annual Audit					0	0	0	0	0	
3117056	Education - PDG	Complete	0	0	0	0	0	0	0	0	N/A
3117057	Education & Children Grants					0	0	0	0	0	
3117058	Youth Work Strategy Grant	Complete	0	0	1	1	0	0	1	1	N/A
	Corporate Services										
4117001	Main Accounting					0	0	0	0	0	
4117002	Budget Setting	Draft Report Issued				0	0	0	0	0	
4117003	Budget Monitoring / Budget Manual Compliance	Draft Report Issued				0	0	0	0	0	
4117004	VAT					0	0	0	0	0	
4117005	Capital Accounting incl.Fixed Asset Register					0	0	0	0	0	
4117006	Treasury Management - Loans					0	0	0	0	0	
4117007	Investments - Carmarthenshire CC					0	0	0	0	0	
4117008	Investments - Dyfed Pension Fund					0	0	0	0	0	
4117009	Pensions Payroll System	Complete	0	0	0	0	0	0	0	0	High
4117010	Housing Benefits					0	0	0	0	0	
4117011	Council Tax					0	0	0	0	0	
4117012	NNDR					0	0	0	0	0	
4117013	Payroll System	Draft Report Issued				0	0	0	0	0	
4117014	Creditor Payments					0	0	0	0	0	
4117015	Debtors System					0	0	0	0	0	
4117016	Cash Receipting	Draft Report Issued				0	0	0	0	0	
4117017	Banking	Complete	0	0	2	2	0	0	2	2	High
4117018	Travel & Subsistence System					0	0	0	0	0	
4117019	Trust Funds	Complete	0	1	2	3	0	3	2	5	Acceptable
4117020	Burry Port Harbour - Accounts Return for WAO	Complete	0	6	1	7	0	18	1	19	Low
4117021	Teachers Salaries	Draft Report Issued				0	0	0	0	0	
4117022	Asset Disposal / Acquisition					0	0	0	0	0	
4117023	Financial Management Other					0	0	0	0	0	
	Communities										
5117001	Disability/Adaptations/Renewals/ARBED					0	0	0	0	0	
5117002	Houses for Homes					0	0	0	0	0	
5117003	Tenancy Management					0	0	0	0	0	
5117004	Homelessness					0	0	0	0	0	
5117005	Rents	Complete	0	0	0	0	0	0	0	0	High
5117006	Contract Management/Partnerships	Commenced				0	0	0	0	0	
5117007	Direct Payments	Complete	0	0	2	2	0	0	2	2	High
5117008	Residential Care Authority & Private Homes					0	0	0	0	0	
5117009	Day Care					0	0	0	0	0	
5117010	Learning Disabilities	Complete	0	0	0	0	0	0	0	0	High
5117011	Safeguarding					0	0	0	0	0	
5117012	Service User Assets	Draft Report Issued				0	0	0	0	0	
5117013	Care Plans					0	0	0	0	0	
5117014	Independent Living Fund	Complete	0	1	0	1	0	3	0	3	Acceptable
5117015	Joint Equipment Store	Draft Report Issued				0	0	0	0	0	
5117016	Amman Valley Leisure Centre	Commenced				0	0	0	0	0	
5117017	Carmarthen Leisure Centre	Field Work Complete				0	0	0	0	0	
5117018	Llanelli Leisure Centre	Terms of Reference				0	0	0	0	0	
5117019	Newcastle Emlyn Leisure Centre	Field Work Complete				0	0	0	0	0	
5117020	Pembrey Country Park / MCP / Country Parks					0	0	0	0	0	
5117021	Ski Centre					0	0	0	0	0	
5117022	Countryside Access					0	0	0	0	0	
5117023	St Clears Craft Centre	Draft Report Issued				0	0	0	0	0	
5117024	West Area Leisure	Pre Audit Meeting				0	0	0	0	0	
5117025	Pendine Outdoor Education Centre	Draft Report Issued				0	0	0	0	0	
5117026	Financial Management Other	Complete	0	0	0	0	0	0	0	0	N/A
	Grants										
5117027	Supporting People - Outcomes	Complete	0	0	0	0	0	0	0	0	N/A

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5117028	Supporting People - Financials	Complete				0	0	0	0	0	
5117029	Communities					0	0	0	0	0	
	Environment										
	Property:										
6117001	Property Maintenance					0	0	0	0	0	
6117002	Property Management					0	0	0	0	0	
6117003	Tenancy Management / Housing Voids					0	0	0	0	0	
6117004	Provision / livestock markets					0	0	0	0	0	
6117005	Grounds Maintenance	Complete	0	4	0	4	0	12	0	12	Low
6117006	Waste Services					0	0	0	0	0	
6117007	Environmental Enforcement	Complete	0	0	0	0	0	0	0	0	High
	Highways and Transport:										
6117008	Highway Maintenance (incl. Trunk Roads)	Complete	0	3	0	3	0	9	0	9	Acceptable
6117009	Public transport	Commenced				0	0	0	0	0	
6117010	Fleet/Plant Management					0	0	0	0	0	
	Planning Services:										
6117011	Building Control	Complete	0	0	0	0	0	0	0	0	High
6117012	106 Agreements	Complete	0	0	0	0	0	0	0	0	High
6117013	Heritage	Complete	0	0	0	0	0	0	0	0	High
	Policy & Development Departmental:										
6117014	Management Systems - Total	Commenced				0	0	0	0	0	
6117015	Procurement	Complete	0	4	0	4	0	12	0	12	Low
6117016	Financial Management Other					0	0	0	0	0	
	Grants										
6117017	Departmental Grants	Complete	0	3	0	3	0	9	0	9	Acceptable
	Procurement / Contracts										
7117001	Departmental Procurement Revenue Contracts	Commenced				0	0	0	0	0	
7117002	Corporate Procurement					0	0	0	0	0	
7117003	Framework contracts	Field Work Complete				0	0	0	0	0	
7117004	Regional Framework contracts	Commenced				0	0	0	0	0	
7117005	Specific Projects	Complete	0	0	0	0	0	0	0	0	High
7117006	Capital Maintenance					0	0	0	0	0	
7117007	21st Century Schools	Complete	0	0	0	0	0	0	0	0	High
7117008	Post Contract	Commenced				0	0	0	0	0	
7117009	Contract Partnering Selection					0	0	0	0	0	
7117010	Capital Grant Management					0	0	0	0	0	
7117011	Departmental Contract Management	Complete	1	0	0	1	5	0	0	5	Low
7117012	Cost Management	Complete	0	3	0	3	0	9	0	9	Acceptable
7117013	Financial Management Other					0	0	0	0	0	
	Additional Work Not Included in Original Plan										
5117030	Pendine Investigation	Complete	0	0	0	0	0	0	0	0	N/A
4117024	Self Assessment	Complete	0	0	0	0	0	0	0	0	N/A
2117017	Ceredigion Payroll	Draft Report Issued				0	0	0	0	0	
5117030	Pendine Investigation Phase II	Commenced				0	0	0	0	0	
2217001	FOIA Whistleblowing Investigation	Complete	0	0	0	0	0	0	0	0	N/A