

INTERNAL AUDIT PLAN 2015 / 2016							
2015/16		Issues					
Job No	Departments	No. of 3+ Issues	No. of 2+ Issues	No. of 1+ Issues	Total No. Issues	Score	Assurance Level
Chief Executive							
1115001	Partnership Arrangements	0	0	0	0	0	N/A
1115002	Customer Services	0	2	1	3	7	Acceptable
1115003	Press Office/communication	0	5	0	5	15	Acceptable
1115004	Annual Governance Statement	0	3	0	3	9	Acceptable
1215001	HR Function	0	1	0	1	3	Acceptable
1215002	Modern Records	0	0	0	0	0	High
1215003	Declaration of Interest				0	0	
1315001	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							
Education & Children							
2115001	Modernising Education Provisions	0	0	0	0	0	N/A
2215001	Information Management				0	0	
2315001	Admissions	0	0	1	1	1	High
2315002	Governor Support	0	2	0	2	6	Acceptable
2315003	School Meals				0	0	
2315004	Catering Services				0	0	
2315005	Teachers starters & leavers				0	0	
2415001	Adoption & Fostering				0	0	
2415002	Family Support	0	0	0	0	0	N/A
2415003	Partnering / Procurement	0	0	0	0	0	N/A
2415004	Residential Care	0	1	6	7	9	Acceptable
2415005	Safeguarding				0	0	
2515001	Financial Management Other						
Total Audit Days for Department							
Grants							
3115001	Physical Regeneration				0	0	
3115002	Business Development				0	0	
3115003	Community Funding				0	0	
3115004	Third Party Grants Monitoring				0	0	
3215001	Education - Arrangements for EIG	0	0	0	0	0	N/A
3215002	SCHH				0	0	
3215003	Resources				0	0	
3315001	Foundation Stage	0	0	0	0	0	Acceptable
3315002	DCELLS Post 16	0	0	0	0	0	N/A
3315003	Bus operators Grant	0	0	0	0	0	N/A
3315004	Communities 2.0	0	0	0	0	0	N/A
3315005	Supporting People	1	0	0	1	5	Low
3315006	LSB - Development Officer	0	0	0	0	0	Low
3315007	LSB - Regional Collaborator	0	0	0	0	0	Low
3415001	Financial Management Other				0	0	
Total Audit Days for Department							
Resources							
4115001	Main Accounting				0	0	
4115002	VAT	0	2	1	3	7	Acceptable
4115003	Capital Accounting incl.Fixed Asset Register	0	0	0	0	0	High
4115004	Treasury Management	0	0	0	0	0	High
4115005	Investments	0	0	0	0	0	High
4115006	Pensions Payroll System	0	0	0	0	0	High
4115007	Housing Benefits				0	0	
4115008	Council Tax				0	0	
4115009	NNDR				0	0	
4115010	Payroll System (Carms CC staff & Teachers)	0	1	0	1	3	Acceptable
4115011	Creditor Payments	0	2	2	4	8	Acceptable
4115012	Debtors System				0	0	
4115013	Cash Receipting	0	1	1	2	4	Acceptable
4115014	Banking	0	0	0	0	0	High
4115015	Travel & Subsistence System				0	0	
4115016	Trust Funds	0	0	0	0	0	Acceptable
4215001	Asset Transfer				0	0	
4215002	Property Management	0	0	0	0	0	N/A
4215003	Estate Management - HRA Garages & Land holdings	0	0	0	0	0	N/A
4215004	Provision / livestock markets				0	0	
4315004	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							

Job No	Departments	No. of 3* Issues	No. of 2* Issues	No. of 1* Issues	Total No. Issues	Score	Assurance Level
Chief Executive							
Community Services							
5115001	Tenant Involvement	0	3	0	3	9	Acceptable
5115002	Tenancy Mgt	0	0	0	0	0	N/A
5115003	Voids (incl Building Service involvement)	0	0	0	0	0	N/A
5115004	Travellers Sites	0	0	0	0	0	High
5115005	Affordable Homes	0	4	2	6	14	Low
5115006	Rents	0	0	0	0	0	not given
5115007	HRA	0	2	0	2	6	Acceptable
5215001	Contract Management/Partnerships	0	1	1	2	4	Acceptable
5215002	Home Care				0	0	
5215003	Meal provision	0	4	0	4	12	Acceptable
5215004-A	Residential Care - Authority Care Homes	0	2	3	5	9	Acceptable
5215004-B	Residential Care - Private Care Homes	0	2	3	5	9	Acceptable
5215005	Financial assessments and Collections	0	0	0	0	0	High
5215006	Deputyship				0	0	
5215007	Learning Disabilities	0	2	1	3	7	Acceptable
5215008	Safeguarding	0	0	0	0	0	N/A
5215009	Supporting People	0	0	0	0	0	N/A
5215010	Care Line	0	0	0	0	0	N/A
5315001	Licenses and other fees	0	0	0	0	0	High
5415001	Theatres				0	0	
5415002	Heritage Services				0	0	
5415003	Libraries	0	0	0	0	0	N/A
5415004	Amman Valley	0	1	0	1	3	Acceptable
5415005	Carmarthen	0	2	1	3	7	Acceptable
5415006	Llanelli				0	0	
5415007	South Area Leisure / Education & Workforce				0	0	
5415008	Arrangements for Leisure Trust Status	0	0	0	0	0	N/A
5415009	Countryside Access				0	0	
5415010	Pembrey Country Park / MCP / Counrty Parks				0	0	
5415011	Ski Slope Mnot and Operational				0	0	
5515001	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							
Environmental Services							
6115001	Building Maintenance (excl Housing voids)	0	0	0	0	0	N/A
6115002	Procurement	0	0	0	0	0	N/A
6115003	Grounds Maintenance	0	0	0	0	0	N/A
6215001	Highway Maintenance (incl. Trunk Roads)				0	0	
6215002	Waste Services				0	0	
6215003	Other Streetwork	0	0	0	0	0	High
6215004	Street Lighting	0	3	0	3	9	Acceptable
6215005	Cleansing Services	0	0	0	0	0	N/A
6315001	Community transport	0	0	0	0	0	High
6315002	Parking inc Enforcement	0	0	0	0	0	High
6315003	Management systems (task)	0	0	0	0	0	N/A
6415001	Conservation	0	2	0	2	6	Acceptable
6515001	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							
Procurement / Contracts							
6615001	Departmental Contract Management				0	0	
6615002	Contract Partnering Selection	0	0	0	0	0	High
6615003	Capital Grant Management				0	0	
6615004	Framework contracts	0	0	0	0	0	N/A
6615005	Dinefwr Reorganisation	0	0	0	0	0	High
6615006	Carmarthenshire Homes Standard	0	0	0	0	0	N/A
6615007	MEP				0	0	
6615008	New residential home Carmarthen	0	0	0	0	0	High
6615009	Carmarthen West Link Road	0	0	0	0	0	High
6615010	Leisure - Museum garden scheme	0	0	0	0	0	N/A
6615011	Stradey Phase 1	0	0	0	0	0	N/A
6715001	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							
Computer Audit							
4415001	IT Procurement				0	0	
4415002	Corporate File Plan				0	0	
4415003	Cloud Computing				0	0	
4415004	Data Protection				0	0	
4415005	Computer Assisted Audit Testing(CAATs)	0	0	0	0	0	N/A
4415006	NFI	0	0	0	0	0	N/A
4415007	- Agresso Developments	0	0	0	0	0	N/A
4415008	Pensions	0	0	0	0	0	High
4415009	-Revenues/ Benefits / DIPS	0	3	1	4	10	Acceptable
4415010	Payment Cards	0	0	0	0	0	N/A
4415011	Resources / WWEC - Grants Matrix system	0	0	0	0	0	N/A
4415012	Other Systems - Total Mobile	0	2	1	3	7	Acceptable
4515001	Financial Management Other	0	0	0	0	0	N/A
Total Audit Days for Department							

Job No	Departments	No. of 3* Issues	No. of 2* Issues	No. of 1* Issues	Total No. Issues	Score	Assurance Level
	Chief Executive						
	School Audits						
	Primary Schools						
2615001	Maesybont C.P. School.	0	1	2	3	5	Acceptable
2615002	Ysgol Gynradd Y Tymbl				0	0	
2615003	Pontiets C.P. School				0	0	
2615004	Betws C.P. School	0	0	0	0	0	High
2615005	Ysgol Gynradd Tycores	0	2	4	6	10	Acceptable
2615006	Ysgol Gynradd Parcyrhun	0	2	1	3	7	Acceptable
2615007	Llansadwrn	0	0	2	2	2	High
2615008	Talley C.P. School	0	2	3	5	9	Acceptable
2615009	Cwrt Henry				0	0	
2615010	Ysgol Rhys Pritchard	0	0	0	0	0	High
2615011	Llys Hwyl Whiland	0	1	2	3	5	Acceptable
2615012	Ysgol Gynradd Brynsaron				0	0	
2615013	Llangennech Junior School				0	0	
2615014	Hendy C.P. Mixed School	0	3	1	4	10	Acceptable
2615015	Brynamman Primary School	0	0	0	0	0	High
2615016	Abernant				0	0	
2615017	Pare Y Twm School	1	2	3	6	14	Acceptable
2615018	Pembrey	0	2	1	3	7	Acceptable
2615019	Ysgol Beca	0	0	1	1	1	High
2615020	Ysgol Gynradd Hafodwenog	0	0	4	4	4	Acceptable
2615021	Llandelo C.P. School	0	2	6	8	12	Acceptable
2615022	Y.G. Cynwyl Elfed				0	0	
2615023	Halfway C.P. School.	0	1	1	2	4	Acceptable
2615024	Pwll C.P. Mixed School				0	0	
2615025	Ysgol Y Castell	0	0	1	1	1	High
2615026	Penygroes C.P. School	0	0	1	1	1	High
2615027	Ysgol Gynradd Nantgaredig				0	0	
2615028	Ysgol Gymraeg Gwenllian				0	0	
2615029	Ysgol Dewi Sant, Llanelli.				0	0	
2615030	Stebonheath C.P. School	0	2	6	8	12	Acceptable
2615031	Ysgol Y Ddwyfan				0	0	
2615032	Ysgol Y Fro	0	0	0	0	0	N/A
2615033	Cafreg Hirfaen Foundation School	0	2	2	4	8	Acceptable
2615034	Ysgol Cae'r Felin				0	0	
2615035	Ysgol Y Bedol				0	0	
2615036	Ysgol Brynteg	0	1	5	6	8	Acceptable
2615037	Pentip VA School				0	0	
	Primary Schools Totals						
	Secondary Schools						
2715001	Ysgol Bro Dinefwr	0	1	8	9	11	Acceptable
2715002	Dyffryn Amman	0	0	0	0	0	High
2715003	Dyffryn Taf	0	1	0	1	3	Acceptable
2715004	Ysgol Gyfun Emlyn	0	5	9	14	24	Acceptable
2715005	Bro Myrddin	0	2	2	4	8	Acceptable
2715006	Coedcae	0	0	5	5	5	Acceptable
2715007	St John Lloyd	0	3	2	5	11	Acceptable
	Secondary Schools Totals						

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	
3 to 10 with no 3* recommendations	High Good controls consistently applied. Low Risk of not meeting objectives. Low Risk of fraud, negligence, loss, damage to reputation.
11 & over or including 1 or more 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.
	Low Inadequate controls

PRE AUDIT RISK LEVEL

ASSESSMENT BASED ON A RANGE OF RISKS INCLUDING - BUSINESS, REPUTATIONAL AND FRAUD TAKING INTO ACCOUNT VALUE AND VOLUME OF TRANSACTIONS, PREVIOUS AUDIT REPORTS, CHANGE OF SYSTEMS OR POLICY OR STAFF etc.

POST AUDIT RISK LEVEL

ASSESSMENT BASED ON THE RESULTS OF THE REVIEW AND TAKING INTO ACCOUNT THE PRE AUDIT RISK LEVEL.