	AUDIT PLAN 2016/17 @ August 2016	
Job No	Departments	
300 140	Chief Executive	
	Office Executive	
1116001	Corporate Strategy/Policy Making	
1116002	Partnership Arrangements	
1116003	Call Centre	
1116004	Print Commissioning	
1116005	Annual Governance Statement	
1116006	Coroners / other services	
1116007	Registrars	
1216001	HR Function	
1216002	Staffing Policies	
1216003	Declaration of Interest	
1216004	Democratic Advice and Support	
1316001	Financial Management Other	
	Education 9 Children	
	Education & Children	
2116001	Community Learning	
2116001	Youth Support Service	
2216001	Information Management	
2216001	School Meals / Catering Services	
2316001	Additional Learning Needs	
2316002	School Improvement	
2316003	Schools Organisation	
2316004	Teachers starters & leavers	
2416001	Child Support	
2416002	Family Support	
2416003	Partnering / Procurement	
2416004	Education Welfare	
2416005	Safeguarding	
2516001	Financial Management Other	
	Grants	
0110001	Dhariad Danas action	
3116001	Physical Regeneration Business Development	
3116002	Community Funding	
3116003 3216001	Departmental Grants	
3216001	Foundation Stage	
3216002	DCELLS Post 16	
3216003	Bus operators Grant	
3216004	Supporting People	
3216006	Education - EIG - Q1 Audit	
	Education - EIG - Q2 Audit	
	Education - EIG - Q3 Audit	
3216007		
3216007 3216008	Education - EIG - Q4 Audit	
3216007 3216008 3216009	Education - EIG - Q4 Audit	
3216007 3216008	Education - EIG - Q4 Audit Education - EIG - Final Annual Audit Education - PDG	
3216007 3216008 3216009 3216010	Education - EIG - Q4 Audit Education - EIG - Final Annual Audit	

REPORTING					
	Iss	ues			
No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
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Job No	Departments
	Corporate Services
4116001	Risk Management
4216001 4216002	Main Accounting VAT
4216002	Capital Accounting incl.Fixed Asset Register
4216004	Treasury Management
4216005	Investments
4216006 4216007	Pensions Payroll System Housing Benefits
4216008	Council Tax
4216009	NNDR
4216010 4216011	Payroll System Creditor Payments
4216011 4216012	Debtors System
4216013	Cash Receipting
4216014	Banking
4216015 4216016	Travel & Subsistence System Trust Funds
4316001	Financial Management Other
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	Corporate Property
	Property Management
	Estate Management
	Provision / livestock markets
	Communities
5116001	Disability/Adaptations/Renewals/ARBED
5116002	Houses for Homes
5116003 5116004	Tenancy Mgt Voids
5116004	Homelessness
5116006	Rents
5116007	HRA Contract Management/Partnerships
5216001 5216002	Contract Management/Partnerships Direct Payments
5216003	Home Care
5216004	Residential Care Authority & Private Homes
5216005 5216006	Day Care Learning Disabilities
	Transport
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5216008	Safeguarding
5216008 5216009	Supporting People
5216008 5216009 5316001	Supporting People Public Health / Protection
5216007 5216008 5216009 5316001 5416001 5416002	Supporting People Public Health / Protection Arts Development
5216008 5216009 5316001 5416001 5416002 5416003	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services
5216008 5216009 5316001 5416001 5416002 5416003	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516001	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley
5216008 5216009 5316001 5416001 5416002 5416003	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516001 5516002 5516003	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli East Area Leisure / NERS / Marketing
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516001 5516002 5516003 5516004 5516005	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli East Area Leisure / NERS / Marketing Arrangements for Leisure Trust Status
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516002 5516004 5516005 5516006	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli East Area Leisure / NERS / Marketing Arrangements for Leisure Trust Status Partnerships
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516001 5516004 5516005 5516006 5516006	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli East Area Leisure / NERS / Marketing Arrangements for Leisure Trust Status
5216008 5216009 5316001 5416001 5416002 5416003 5416004 5516001 5516002 5516003 5516004 5516005	Supporting People Public Health / Protection Arts Development Cultural: Oriel Myrddin Heritage Services Libraries Amman Valley Carmarthen Llanelli East Area Leisure / NERS / Marketing Arrangements for Leisure Trust Status Partnerships Pembrey Country Park / MCP / Country Parks

	REPORTING				
	Iss	ues			
No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
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Job No	Departments
	Environmental Services
6116001	Building Maintenance
6116002	Procurement
6116003	Grounds Maintenance
6116004 6216001	Urban Parks Highway Maintenance (incl. Trunk Roads)
6216001	Waste Services
6216003	Trade Waste
6316001	Public transport
6316002	School & College Transport
6316003	Fleet/Plant Management
6316004	Traffic Management
6316005	Road Safety
6416001	Development Control
6416002	Building Control
6516001	Financial Management Other
	Draguerant / Cantucata
	Procurement / Contracts
6616001	Departmental Procurement Revenue Contracts
6616002	Corporate Procurement
6616003	Asset Management
6616004	Framework contracts
6616005	Specific Projects
6616006	Capital Maintenance
6616007	MEP & sample of specific projects / post contracts
6616008	Post Contract
6716001	Financial Management Other
	Computer Audit
	Computer Audit
	Security of Information
4416002	Security of Information Operating Systems
4416002 4416003	Security of Information Operating Systems Social Media
4416002 4416003 4416004	Security of Information Operating Systems Social Media Internet Security
4416002 4416003 4416004 4416005	Security of Information Operating Systems Social Media Internet Security Licensing
4416002 4416003 4416004 4416005 4416006	Security of Information Operating Systems Social Media Internet Security Licensing Communications
4416002 4416003 4416004 4416005 4416006 4416007	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs)
4416002 4416003 4416004 4416005 4416006 4416007 4416008	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs) - Agresso Developments
4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs) - Agresso Developments - Resource Link
4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009 4416010	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs) - Agresso Developments - Resource Link - Payment Cards
4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009 4416010	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs) - Agresso Developments - Resource Link - Payment Cards - Education & Children Services
4416001 4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416010 4416011 4416011 4416012 4416013	Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit Testing(CAATs) - Agresso Developments - Resource Link - Payment Cards

	REPORTING					
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INTERNAL A	AUDIT PLAN 2016/17 @ August 2016
Job No	Departments
	School Audits
	Primary Schools
2616001	Meithryn Rhydaman
2616002	Cefneithin C.P.
2616003	Llechyfedach C.P. School
2616004	Ysgol Gynradd Gorslas
2616005	Ysgol Gynradd Ponthenri
2616006	Bancyfelin C.P. School Meidrim C.P. School
2616007	Ysgol Gynradd Llanedi
2616008 2616009	Ysgol Gynradd Llanedl Ysgol Gynradd Ffairfach
2616010	Ysgol Gynradd Llanwrda
2616010	Ysgol Gynradd Bro Brynach
2616012	Ysgol G. Llanpumsaint
2616013	Ysgol G. Mynyddygarreg
2616014	Johnstown C.P. School
2616015	Ysgol Gynradd Bynea
2616016	Dafen C.P. School
2616017	Llangennech Infants School
2616018	Furnace C.P. School
2616019	Copperworks Infant & Nursery School
2616020	Maes y Morfa
2616021	Old Road C.P. Primary School
2616022	Ysgol Llanstephan
2616023	Ysgol Gynradd Llannon
2616024	Myrddin C.P. School
2616025	Swiss Valley C.P. School.
2616026	Ysgol Gymraeg Rhydaman
2616027	Llandybie C.P. School
2616028	Ysgol Llanybydder
2616029 2616030	Burry Port Community School Ysgol Wirfoddol Abergwili
2616030	Tremoilet V.C.P.
2616031	Laugharne V.C.P. School
2616032	Ys Gynradd Wirfoddol Llanddarog
2616034	Ysgol Gynradd Wirfoddol Llanllwni
2616035	Ysgol Wirfoddol Penboyr
	Secondary Schools
2716001	Glanymor
2716002	Strade
2716003	Bryngwyn
2716004	Maesygwendraeth
2716005	QE High School
	Special Schools
2816001	Rhydygors
2816002	Heol Goffa

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SCORING METHODOLOGY

SCOKING IV	SCOKING WETHODOLOGY		
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.