INTERNAL AUDIT PLAN 2016/17				
INTER	NAL AUDIT PLAN 2010/17			
Job No	Departments			
	Chief 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 & Children			
2116001	Community Learning			
2116002	Youth Support Service			
2216001	Information Management			
2216002	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			
	Giants			
3116001	Physical Regeneration			
3116001	Business Development			
3116002	Community Funding			
3216003	Departmental Grants			
3216001	Foundation Stage			
3216002	DCELLS Post 16			
3216003	Bus operators Grant			
3216005	Supporting People			
3216006	Education - FIG - Q1 Audit			
3216007	Education - EIG - Q1 Audit Education - EIG - Q2 Audit			
3216008	Education - EIG - Q3 Audit			
3216009	Education - EIG - Q4 Audit			
3216010	Education - EIG - Final Annual Audit			
3216011	Education - PDG			
3316001	Financial Management Other			

REPORTING					
	Issues				
No. of 3 * Issues	No. of 2 * Issues	No. of 1	Total No. Issues	Score	Assurance Level
			0	0	
			0	0	
			Ö	0	
			0	0	
_			0	0	
0	2	0	2	6 0	Acceptable
0	0	0	0	0	N/A
0	0	0	0	0	High
			0	0	
0	0	0	0	0	Acceptable
0	0	0	0	0	
0	0	2	2	2	Acceptable
			0	0	
			0	0	
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_					
			0	0	
			0	0	
0	3	1	0 4	0 10	Acceptable
0	0	0	0	0	N/A
0	1	0	1	3	Acceptable
			0	0	
0	0	0	0	0	N/A
- 0	U	U	0	0	IN/A
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	

No. of 3 No. of 2 No. of 1 Total No.		
Corporate Services	Score	Assuranc Level
4216001	-	
4216001	0	
4216003	0	
4216004 Treasury Management	0	
4216006 Pensions Payroll System 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0	1
4216006 Pensions Payroll System	0	-
4216007	0	High
4216009	0	riigii
4216010	0	
4216011 Creditor Payments 0 4216012 Debtors System 0 4216013 Cash Receipting 0 4216014 Banking 0 4216015 Travel & Subsistence System 0 0 0 0 0 0 0 0 0	0	
4216012	11	Acceptab
4216013 Cash Receipting	0	
4216014 Banking	0	+
4216016	0	†
Corporate Property (to be allocated to relevant Dept)	0	
Corporate Property (to be allocated to relevant Dept)	0	Acceptab
Property Management	0	
Property Management		
Estate Management		
Estate Management		
Provision / livestock markets	0	
S116001 Disability/Adaptations/Renewals/ARBE	0	
5116001 Disability/Adaptations/Renewals/ARBE 5116002 Houses for Homes 5116003 Tenancy Mgt 5116004 Voids 5116005 Homelessness 5116007 HRA 5216001 Contract Management/Partnerships 5216002 Direct Payments 5216003 Home Care 5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	1
5116001 Disability/Adaptations/Renewals/ARBE 5116002 Houses for Homes 5116003 Tenancy Mgt 5116004 Voids 5116005 Homelessness 5116007 HRA 5216001 Contract Management/Partnerships 5216002 Direct Payments 5216003 Home Care 5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre		
S116002		
5116003 Tenancy Mgt 0 5116004 Voids 0 5116005 Homelessness 0 5116006 Rents 0 5116007 HRA 0 5216001 Contract Management/Partnerships 0 5216002 Direct Payments 0 5216003 Home Care 0 5216004 Residential Care Authority & Private 0 5216005 Day Care 0 5216006 Learning Disabilities 0 5216007 Transport 0 5216008 Safeguarding 0 5216009 Supporting People 0 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 0 5416003 Heritage Services 0 5516001 Amman Valley 0 5516002 Carmarthen 0 5516003 Lianelli 0 5516006 Partnerships 0 5516007 Pembrey Count	0	
5116004 Voids 5116005 Homelessness 5116006 Rents 5116007 HRA 5216001 Contract Management/Partnerships 5216002 Direct Payments 5216003 Home Care 5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216008 Safeguarding 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516000 Carmarthen 5516000 Amman Valley 5516000 Arrangements for Leisure Trust Status 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	High
5116005 Homelessness 0 0 0 5116006 Rents 0 0 0 5116007 HRA 0 0 0 5216001 Contract Management/Partnerships 0 0 0 5216002 Direct Payments 0 1 0 1 5216003 Home Care 0 <t< td=""><td>0</td><td>1</td></t<>	0	1
S116006	0	+
5116007 HRA 5216001 Contract Management/Partnerships 5216002 Direct Payments 5216003 Home Care 5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216008 Safeguarding 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516006 Partnerships 0 0 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	High
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5216003 Home Care 5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216008 Safeguarding 5216009 Supporting People 5316001 Public Health / Protection 5416001 Arts Development 5416002 Cultural: Oriel Myrddin 5416004 Libraries 5416004 Libraries 5516001 Amman Valley 5516002 Carmarthen 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516006 Partnerships 0 0 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	
5216004 Residential Care Authority & Private 5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216008 Safeguarding 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516002 Carmarthen 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516005 Arrangements for Leisure Trust Status 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	3	Acceptab
5216005 Day Care 5216006 Learning Disabilities 5216007 Transport 5216008 Safeguarding 5216009 Supporting People 5316001 Public Health / Protection 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516002 Carmarthen 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516005 Arrangements for Leisure Trust Status 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	A 0.0 4 - 1
5216006 Learning Disabilities 0 5216007 Transport 0 5216008 Safeguarding 0 5216009 Supporting People 0 5316001 Public Health / Protection 0 5416001 Arts Development 0 5416002 Cultural: Oriel Myrddin 0 5416003 Heritage Services 0 5416004 Libraries 0 5516001 Amman Valley 0 5516003 Lianelli 0 5516004 East Area Leisure / NERS / Marketing 0 5516005 Arrangements for Leisure Trust Status 0 5516007 Pembrey Country Park / MCP / Country 0 5516008 Ski Centre 0	14	Acceptab Acceptab
5216007 Transport 0 5216008 Safeguarding 0 5216009 Supporting People 0 5316001 Public Health / Protection 0 5416001 Arts Development 0 5416002 Cultural: Oriel Myrddin 0 2 2 4 5416003 Heritage Services 0 0 0 0 5516001 Amman Valley 0 0 0 0 0 5516002 Carmarthen 0 3 1 4 4 5516003 Llanelli 0 0 0 0 0 0 0 5516006 Arrangements for Leisure Trust Status 0 0 0 0 0 5516007 Pembrey Country Park / MCP / Country 0 0 0 0 0 0 5516008 Ski Centre 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0	Accepiab
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5316001 Public Health / Protection 5416001 Arts Development 5416002 Cultural: Oriel Myrddin 5416003 Heritage Services 5416004 Libraries 5516001 Amman Valley 5516002 Carmarthen 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516005 Arrangements for Leisure Trust Status 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	0	
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5416002 Cultural: Oriel Myrddin 0 2 2 4 5416003 Heritage Services 0 0 5516001 0	0	1
5416003 Heritage Services 0 5416004 Libraries 0 5516001 Amman Valley 0 5516002 Carmarthen 0 5516003 Lianelli 0 5516004 East Area Leisure / NERS / Marketing 0 5516005 Arrangements for Leisure Trust Status 0 0 5516006 Partnerships 0 5516007 Pembrey Country Park / MCP / Country 0 5516008 Ski Centre 0	0	Aggastati
5416004 Libraries 5516001 Amman Valley 5516002 Carmarthen 5516003 Llanelli 5516004 East Area Leisure / NERS / Marketing 5516005 Arrangements for Leisure Trust Status 5516006 Partnerships 0 0 5516007 Pembrey Country Park / MCP / Country 5516008 Ski Centre	8	Acceptabl
5516001 Amman Valley 0 5516002 Carmarthen 0 3 1 4 5516003 Llanelli 0 0 0 5516004 East Area Leisure / NERS / Marketing 0 0 0 5516005 Arrangements for Leisure Trust Status 0 0 0 0 5516006 Partnerships 0 0 0 0 0 5516007 Pembrey Country Park / MCP / Country 0 0 0 0 0 5516008 Ski Centre 0 <t< td=""><td>0</td><td>+</td></t<>	0	+
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5516004 East Area Leisure / NERS / Marketing 5516005 Arrangements for Leisure Trust Status 0 0 0 5516006 Partnerships 0 0 5516007 Pembrey Country Park / MCP / Country 0 0 5516008 Ski Centre 0 0	10	Acceptabl
5516005 Arrangements for Leisure Trust Status 0 0 0 0 5516006 Partnerships 0 0 0 0 5516007 Pembrey Country Park / MCP / Country 0 0 0 5516008 Ski Centre 0 0 0	0	
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5516007 Pembrey Country Park / MCP / Country 0 5516008 Ski Centre 0	0	N/A
5516008 Ski Centre 0	0	+
	0	+
	0	1
5616001 Financial Management Other 0	0	

INTERNAL AUDIT PLAN 2016/17				
HITEK	TODAY EAR EUROPIT			
Job No	Departments			
	Environmental Services			
6116001	Building Maintenance			
6116002	Procurement			
6116003	Grounds Maintenance			
6116004	Urban Parks			
6216001 6216002	Highway Maintenance (incl. Trunk Waste Services			
6216003	Trade Waste			
6316001	Public transport			
6316001	School & College Transport			
6316002	Fleet/Plant Management			
6316004	Traffic Management			
6316005	Road Safety			
6416001	Development Control			
6416002	Building Control			
6516001	Financial Management Other			
55.5501				
	Procurement / Contracts			
6616001	Departmental Procurement Revenue			
6616002	Corporate Procurement			
6616002 6616003	Corporate Procurement Asset Management			
6616002 6616003 6616004	Corporate Procurement Asset Management Framework contracts			
6616002 6616003 6616004 6616005	Corporate Procurement Asset Management Framework contracts Specific Projects			
6616002 6616003 6616004 6616005 6616006	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance			
6616002 6616003 6616004 6616005 6616006 6616007	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects /			
6616002 6616003 6616004 6616005 6616006 6616007 6616008	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract			
6616002 6616003 6616004 6616005 6616006 6616007	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects /			
6616002 6616003 6616004 6616005 6616006 6616007 6616008	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract			
6616002 6616003 6616004 6616005 6616006 6616007 6616008	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other			
6616002 6616003 6616004 6616005 6616006 6616007 6616008	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416003 4416004	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006 4416006	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006 4416007 4416008	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit - Agresso Developments			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009 4416010 4416010	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit - Agresso Developments - Resource Link - Payment Cards - Education & Children Services			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009 4416010 4416011 4416011	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit - Agresso Developments - Resource Link - Payment Cards - Education & Children Services Social Care & Housing			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416002 4416002 4416003 4416004 4416005 4416006 4416006 4416007 4416008 4416009 4416010 4416010 4416011 4416012 4416013	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit - Agresso Developments - Resource Link - Payment Cards - Education & Children Services Social Care & Housing Other Systems - Total Mobile			
6616002 6616003 6616004 6616005 6616006 6616007 6616008 6716001 4416001 4416002 4416003 4416004 4416005 4416006 4416007 4416008 4416009 4416010 4416011 4416011	Corporate Procurement Asset Management Framework contracts Specific Projects Capital Maintenance MEP & sample of specific projects / Post Contract Financial Management Other Computer Audit Security of Information Operating Systems Social Media Internet Security Licensing Communications Computer Assisted Audit - Agresso Developments - Resource Link - Payment Cards - Education & Children Services Social Care & Housing			

	DEDODTING				
	REPORTING Issues				
	ISSUES				
No. of 3 * Issues		No. of 1 * Issues	Total No. Issues	Score	Assurance Level
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
0	3	0	3	9	Acceptable
0	0	1	1	1	Acceptable
0	0	0	0	0	High
0	0	0	0	0	High
			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	0	
			0	0	
0	0	0	0	0	High
			0	0	
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			0	0	
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WITED	NAL AUDIT DI AN 0040/47
INTER	NAL AUDIT PLAN 2016/17
	5
Job No	Departments
	School Audits
	Drimany Sahaala
2616001	Primary Schools Meithryn Rhydaman
2616001	Cefneithin C.P.
2616003	Llechyfedach C.P. School
2616004	Ysgol Gynradd Gorslas
2616005	Ysgol Gynradd Ponthenri
2616006	Bancyfelin C.P. School
2616007	Meidrim C.P. School
2616008	Ysgol Gynradd Llanedi
2616009	Ysgol Gynradd Ffairfach
2616010	Ysgol Gynradd Llanwrda
2616011 2616012	Ysgol Gynradd Bro Brynach Ysgol G. Llanpumsaint
2616012	Ysgol G. Llanpumsaint 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 2616022	Old Road C.P. Primary School
2616022	Ysgol Llanstephan 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	Burry Port Community School
2616030	Ysgol Wirfoddol Abergwili
2616031	Tremoilet V.C.P.
2616032	Laugharne V.C.P. School
2616033 2616034	Ys Gynradd Wirfoddol Llanddarog Ysgol Gynradd Wirfoddol Llanllwni
2616035	Ysgol Wirfoddol Penboyr
2010000	. ego. Trilloudoi i oriboyi
	Primary Schools Totals
_	Secondary Schools
2716001	Glanymor
2716002	Strade
2716003	Bryngwyn
2716004 2716005	Maesygwendraeth QE High School
27 10000	QL HIGH SCHOOL
	Secondary Schools Totals
	Special Schools
2816001	Rhydygors
2816002	Heol Goffa

REPORTING					
	lss				
No. of 3 * Issues			Total No. Issues	Score	Assurance Level
0	2	3	5	9	Acceptable
0	2	1	3	7	Acceptable
			0	0	
0	2	0	2	6	Acceptable
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
0	1	2	3	5	Acceptable
	'		0	0	Acceptable
			0	0	
			0	0	
0	1	3	4	6	Acceptable
			0	0	
			0	0	
0	1	0	0	3	Acceptable
0	1	2	3	5	Acceptable Acceptable
			0	0	Acceptable
			0	0	
0	3	3	6	12	Acceptable
0	2	2	4	8	Acceptable
0	0	0	0	0	Acceptable
			0	0	
0	0	1	1	1	Acceptable
0	1	4	5	7	Acceptable
0	1	4	5	7	Acceptable
			0	0	
			0	0	
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			0	0	
			0	0	
			0	0	
			0	0	
0	2	2	4	8	Acceptable
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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.
3 to 10 with no 3* recommendations	Low Risk of fraud, negligence, loss, damage to reputation. 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.