

INTERNAL AUDIT PLAN 2016/17		REPORTING					
Job No	Departments	Issues				Score	Assurance Level
		No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues		
	Chief Executive						
1116001	Corporate Strategy/Policy Making				0	0	
1116002	Partnership Arrangements				0	0	
1116003	Call Centre	0	0	0	0	0	High
1116004	Print Commissioning				0	0	
1116005	Annual Governance Statement	0	3	1	4	10	Acceptable
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	0	0	0	N/A
1216004	Democratic Advice and Support	0	0	0	0	0	Acceptable
1316001	Financial Management Other	0	0	0	0	0	N/A
	Education & Children						
2116001	Community Learning	0	0	2	2	2	High
2116002	Youth Support Service	0	1	0	1	3	Acceptable
2216001	Information Management	0	2	3	5	9	Acceptable
2216002	School Meals / Catering Services				0	0	
2316001	Additional Learning Needs				0	0	
2316002	School Improvement	0	0	2	2	0	High
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	0	0	0	High
	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	0	0	0	High
3216008	Education - EIG - Q3 Audit	0	0	0	0	0	High
3216009	Education - EIG - Q4 Audit	0	0	0	0	0	High
3216010	Education - EIG - Final Annual Audit				0	0	
3216011	Education - PDG	0	0	0	0	0	High
3316001	Financial Management Other				0	0	

INTERNAL AUDIT PLAN 2016/17	
Job No	Departments
	Communities
5116001	Disability/Adaptations/Renewals/ARBED
5116002	Houses for Homes
5116003	Tenancy Mgt
5116004	Voids
5116005	Homelessness
5116006	Rents
5116007	HRA
5216001	Contract Management/Partnerships
5216002	Direct Payments
5216003	Home Care
5216004	Residential Care Authority & Private Homes
5216005	Day Care
5216006	Learning Disabilities
5216007	Transport
5216008	Safeguarding
5216009	Supporting People
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
5516006	Partnerships
5516007	Pembrey Country Park / MCP / Country Parks
5516008	Ski Centre
5516009	Burry Port Harbour
5616001	Financial Management Other

REPORTING					
Issues					
No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues	Score	Assurance Level
0	0	0	0	0	High
0	0	0	0	0	High
			0	0	
			0	0	
0	0	0	0	0	High
			0	0	
			0	0	
0	1	0	1	3	Acceptable
			0	0	
0	0	0	0	0	Acceptable
0	4	2	6	14	Low
			0	0	
0	0	0	0	0	N/A
			0	0	
			0	0	
0	2	2	4	8	Acceptable
0	5	0	5	15	Low
			0	0	
			0	0	
0	3	1	4	10	Acceptable
			0	0	
0	0	0	0	0	N/A
			0	0	
			0	0	
0	0	0	0	0	N/A
			0	0	

INTERNAL AUDIT PLAN 2016/17	
Job No	Departments
	Environmental Services
6116001	Building Maintenance
6116002	Procurement
6116003	Grounds Maintenance
6116004	Urban Parks
6216001	Highway Maintenance (incl. Trunk Roads)
6216002	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
	Procurement / Contracts
6616001	Departmental Procurement Revenue
6616002	Contracts
6616003	Corporate Procurement
6616004	Asset Management
6616005	Framework contracts
6616006	Specific Projects
6616007	Capital Maintenance
6616008	MEP & sample of specific projects / post contracts
6716001	Post Contract
	Financial Management Other
	Computer Audit
4416001	Security of Information
4416002	Operating Systems
4416003	Social Media
4416004	Internet Security
4416005	Licensing
4416006	Communications
4416007	Computer Assisted Audit Testing(CAATs)
4416008	- Agresso Developments
4416009	- Resource Link
4416010	- Payment Cards
4416011	- Education & Children Services
4416012	Social Care & Housing
4416013	Other Systems - Total Mobile
4516001	Financial Management Other

REPORTING					
Issues					
No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues	Score	Assurance Level
			0	3	
			0	0	
0	1	0	1	3	Acceptable
0	1	0	1	0	Acceptable
0	0	0	0	0	N/A
			0	0	
0	0	0	0	0	N/A
			0	0	
0	0	0	0	0	High
			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	High
			0	0	
0	2	0	2	6	Acceptable
			0	0	
			0	0	
0	0	2	2	2	High
			0	0	
			0	0	
0	0	0	0	0	High
0	0	0	0	0	N/A
			0	0	
0	1	0	1	3	Acceptable
			0	0	
			0	0	

INTERNAL AUDIT PLAN 2016/17	
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
2616007	Meidrim C.P. School
2616008	Ysgol Gynradd Llanedi
2616009	Ysgol Gynradd Ffairfach
2616010	Ysgol Gynradd Llanwrda
2616011	Ysgol Gynradd Bro Brynach
2616012	Ysgol G. Llanpumsaint
2616013	Ysgol G. Mynyddgarreg
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	Burry Port Community School
2616030	Ysgol Wirfoddol Abergwili
2616031	Tremoilet V.C.P.
2616032	Laugharne V.C.P. School
2616033	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

REPORTING					
Issues					
No. of 3 *	No. of 2 *	No. of 1 *	Total No. Issues	Score	Assurance Level
0	2	3	5	9	Acceptable
0	2	1	3	7	Acceptable
0	1	0	1	0	Acceptable
0	2	0	2	6	Acceptable
0	0	4	4	4	Acceptable
			0	0	
0	2	2	4	8	Acceptable
0	0	4	4	4	Acceptable
			0	0	
0	0	0	0	0	High
			0	0	
0	1	0	1	0	Acceptable
0	0	1	1	0	High
			0	0	
0	1	2	3	5	Acceptable
0	1	3	4	5	Acceptable
			0	0	
0	2	0	2	6	Acceptable
0	1	3	4	6	Acceptable
0	2	4	6	10	Acceptable
0	2	0	2	6	Acceptable
0	1	3	4	5	Acceptable
0	1	0	1	3	Acceptable
0	1	2	3	5	Acceptable
0	0	1	1	1	High
0	0	0	0	0	High
0	3	3	6	12	Acceptable
0	2	2	4	8	Acceptable
0	0	0	0	0	High
0	0	0	0	0	High
	3	5	8	14	Low
0	0	1	1	1	Acceptable
0	1	4	5	7	Acceptable
0	1	4	5	7	Acceptable
			0	0	
			0	0	
			0	0	
	1	5	6	8	Acceptable
			0	0	
			0	0	
	2	8	10	14	Low
0	0	0	0	0	N/A
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

Scores
0 to 2
3 to 10 with no 3* recommendations
11 & over or including 1 or more 3* recommendations

Assurance
High
Acceptable
Low