

INTERNAL AUDIT PLAN 2015 / 2016								
			REPORTING SCORES					
2015/16			Issues					
Job No	Departments	Days Planned	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
	Chief Executive							
1115001	Partnership Arrangements	8				0	0	
1115002	Customer Services	6				0	0	
1115003	Press Office/communication	6				0	0	
1115004	Annual Governance Statement	8				0	0	
1215001	HR Function	10				0	0	
1215002	Modern Records	6	0	0	0	0	0	High
1215003	Declaration of Interest	10				0	0	
1315001	Financial Management Other	10				0	0	
	Total Audit Days for Department	64						
	Education & Children							
2115001	Modernising Education Provisions	6				0	0	
2215001	Information Management	6				0	0	
2315001	Admissions	6				0	0	
2315002	Governor Support	5				0	0	
2315003	School Meals	10				0	0	
2315004	Catering Services	6				0	0	
2315005	Teachers starters & leavers	6				0	0	
2415001	Adoption & Fostering	6				0	0	
2415002	Family Support	6				0	0	
2415003	Partnering / Procurement	6				0	0	
2415004	Residential Care	6				0	0	
2415005	Safeguarding	6				0	0	
2515001	Financial Management Other					0	0	
	Total Audit Days for Department	75						
	Grants							
3115001	Physical Regeneration	10				0	0	
3115002	Business Development	5				0	0	
3115003	Community Funding	10				0	0	
3115004	Third Party Grants Monitoring	8				0	0	
3215001	Education - Arrangements for EIG	5	0	0	0	0	0	N/A
3215002	SCHH	5				0	0	
3215003	Resources	5				0	0	
3315001	Foundation Stage	6				0	0	
3315002	DCELLS Post 16	5	0	0	0	0	0	N/A
3315003	Bus operators Grant	5	0	0	0	0	0	N/A
3315004	Communities 2.0	6	0	0	0	0	0	N/A
3315005	Supporting People	15				0	0	
3315006	LSB - Development Officer	10				0	0	
3315007	LSB - Regional Collaboration	10				0	0	
3415001	Financial Management Other					0	0	
	Total Audit Days for Department	105						
	Resources							
4115001	Main Accounting	15				0	0	
4115002	VAT	8				0	0	
4115003	Capital Accounting incl.Fixed Asset Register	15				0	0	
4115004	Treasury Management	7				0	0	
4115005	Investments	7				0	0	
4115006	Pensions Payroll System	8				0	0	
4115007	Housing Benefits	10				0	0	
4115008	Council Tax	10				0	0	
4115009	NNDR	10				0	0	
4115010	Payroll System (Cars CC staff & Teachers)	25				0	0	
4115011	Creditor Payments	20				0	0	
4115012	Debtors System	20				0	0	
4115013	Cash Receipting	8				0	0	
4115014	Banking	8				0	0	
4115015	Travel & Subsistence System	10				0	0	
4115016	Trust Funds	12				0	0	
4215001	Asset Transfer	8				0	0	
4215002	Property Management	8				0	0	
4215003	Estate Management - HRA Garages & Land holdings	8				0	0	
4215004	Provision / livestock markets	8				0	0	
4315004	Financial Management Other	10				0	0	
	Total Audit Days for Department	235						

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	Social Care, Housing & Leisure							
5115001	Tenant Involvement	8				0	0	
5115002	Tenancy Mgt	10				0	0	
5115003	Voids (incl Building Service involvement)	13				0	0	
5115004	Travellers Sites	4	0	0	0	0	0	High
5115005	Affordable Homes	6	0	4	2	6	14	Low
5115006	Rents	8	0	0	0	0	0	
5115007	HRA	8				0	0	
5215001	Contract Management/Partnerships	10				0	0	
5215002	Home Care	15				0	0	
5215003	Meal provision	10				0	0	
5215004	Residential Care Authority & Private Homes	12				0	0	
5215005	Financial assessments and Collections	7				0	0	
5215006	Deputyship	10				0	0	
5215007	Learning Disabilities	10				0	0	
5215008	Safeguarding	5				0	0	
5215009	Supporting People	8				0	0	
5215010	Care Line	6				0	0	
5315001	Licensing and other fees	6				0	0	
5415001	Theatres	8				0	0	
5415002	Heritage Services	8				0	0	
5415003	Libraries	8	0	0	0	0	0	N/A
5415004	Amman Valley	5				0	0	
5415005	Carmarthen	5				0	0	
5415006	Llanelli	5				0	0	
5415007	South Area Leisure / Education & Workforce	13				0	0	
5415008	Arrangements for Leisure Trust Status	5				0	0	
5415009	Countryside Access	5				0	0	
5415010	Pembrey Country Park / MCP / Counrty Parks	15				0	0	
5415011	Ski Slope Mngt and Operational	5				0	0	
5515001	Financial Management Other	14	0	0	0	0	0	N/A
	Total Audit Days for Department	252						
	Environmental Services							
6115001	Building Maintenance (excl Housing voids)	6				0	0	
6115002	Procurement	8				0	0	
6115003	Grounds Maintenance	8				0	0	
6215001	Highway Maintenance (incl. Trunk Roads)	8				0	0	
6215002	Waste Services	8				0	0	
6215003	Other Streetwork	6				0	0	
6215004	Street Lighting	5				0	0	
6215005	Cleaning Services	8				0	0	
6315001	Community transport	5				0	0	
6315002	Parking inc Enforcement	5	0	0	0	0	0	High
6315003	Management systems (task)	8				0	0	
6415001	Conservation	5				0	0	
6515001	Financial Management Other	10				0	0	
	Total Audit Days for Department	90						
	Construction / Procurement / Contracts							
6615001	Departmental Contract Management	10				0	0	
6615002	Contract Partnering Selection	10				0	0	
6615003	Capital Grant Management	10				0	0	
6615004	Framework contracts	15				0	0	
6615005	Dinefwr Reorganisation	8				0	0	
6615006	Carmarthenshire Homes Standard	8				0	0	
6615007	MEP	8				0	0	
6615008	New residential home Carmarthen	8				0	0	
6615009	Carmarthen West Link Road	7				0	0	
6615010	Leisure - Museum garden scheme	8				0	0	
6615011	Stradey Phase 1	8				0	0	
6715001	Financial Management Other	15				0	0	
	Total Audit Days for Department	115						
	Computer Audit							
4415001	IT Procurement	15				0	0	
4415002	Corporate File Plan	10				0	0	
4415003	Cloud Computing	10				0	0	
4415004	Data Protection	10				0	0	
4415005	Computer Assisted Audit Testing(CAATs)	22				0	0	
4415006	NFI	35				0	0	
4415007	- Agresso Developments	8				0	0	
4415008	Pensions	8				0	0	
4415009	-Revenues/ Benefits / DIPS	9				0	0	
4415010	- Payment Cards	10				0	0	
4415011	Resources / WWEC - Grants Matrix system	10				0	0	
4415012	Other Systems - Total Mobile	13				0	0	
4515001	Financial Management Other	4				0	0	
	Total Audit Days for Department	164						

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	School Audits							
	Primary Schools							
2615001	Maesybont C.P. School.	3				0	0	
2615002	Ysgol Gynradd Y Tymbl	3				0	0	
2615003	Pontiets C.P. School	3				0	0	
2615004	Betws C.P. School	3	0	0	0	0	0	High
2615005	Ysgol Gynradd Tycroes	3				0	0	
2615006	Ysgol Gynradd Parcyrhun	3				0	0	
2615007	Nantygroes C.P. School	3				0	0	
2615008	Talley C.P School	3				0	0	
2615009	Cwrt Henry	3				0	0	
2615010	Ysgol Rhys Pritchard	3				0	0	
2615011	Llys Hywel Whitland	3				0	0	
2615012	Ysgol Gynradd Brynsaron	3				0	0	
2615013	Llangennech Junior School	3				0	0	
2615014	Hendy C.P. Mixed School	3				0	0	
2615015	Brynamman Primary School	3				0	0	
2615016	Abernant	3				0	0	
2615017	Parc Y Tywyn School	3				0	0	
2615018	Pembrey	3				0	0	
2615019	Ysgol Beca	3				0	0	
2615020	Ysgol Gynradd Hafodwenog	3				0	0	
2615021	Llandeilo C.P. School	3				0	0	
2615022	Y.G. Cynwyl Elfed	3				0	0	
2615023	Halfway C.P. School.	3				0	0	
2615024	Pwll C.P. Mixed School	3				0	0	
2615025	Ysgol Y Castell	3	0	0	1	1	0	Acceptable
2615026	Penygroes C.P. School	3				0	0	
2615027	Ysgol Gynradd Nantgaredig	3				0	0	
2615028	Ysgol Gymraeg Gwenllian	3				0	0	
2615029	Ysgol Dewi Sant, Llanelli.	3				0	0	
2615030	Stebonheath C.P. School	3				0	0	
2615031	Ysgol Y Ddwylan	3				0	0	
2615032	Ysgol y Fro	3				0	0	
2615033	Carreg Hirfaen Foundation School	3				0	0	
2615034	Ysgol Cae'r Felin	3				0	0	
2615035	Ysgol Y Bedol	3				0	0	
2615036	Ysgol Brynteg	3				0	0	
2615037	Ferryside V.C.P. School	3				0	0	
	Primary Schools Totals	111						
	Secondary Schools							
2715001	Ysgol Bro Dinefwr	7				0	0	
2715002	Dyffryn Amman	7				0	0	
2715003	Dyffryn Taf	7				0	0	
2715004	Ysgol Gyfun Emlyn	7				0	0	
2715005	Bro Myrddin	7				0	0	
2715006	Coedcae	7				0	0	
2715007	St John Lloyd	7				0	0	
	Secondary Schools Totals	49						
	Total Audit Days for Department	160						
	Total All Audits	1260						
	Additional Work Not Included in Original Plan							
	SEG - School Effectiveness Grant	15				0	0	
	WEG - Welsh in Education Grant	15				0	0	
	14 to 19 Learning Pathways	8				0	0	
	Pembrey Country Park / MCP / Counrty Parks	43				0	0	
	Ski Slope Mngt and Operational	12				0	0	
	Total Additional Work	93						
	Total Audit Plan Time	1353						

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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

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.

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.