

INTERNAL AUDIT PLAN 2015 / 2016	
2015/16	% Plan Completion to Date
Job No	Departments
	Chief Executive
1115001	Partnership Arrangements
1115002	Customer Services
1115003	Press Office/communication
1115004	Annual Governance Statement
1215001	HR Function
1215002	Modern Records
1215003	Declaration of Interest
1315001	Financial Management Other
	Total Audit Days for Department
	Education & Children
2115001	Modernising Education Provisions
2215001	Information Management
2315001	Admissions
2315002	Governor Support
2315003	School Meals
2315004	Catering Services
2315005	Teachers starters & leavers
2415001	Adoption & Fostering
2415002	Family Support
2415003	Partnering / Procurement
2415004	Residential Care
2415005	Safeguarding
2515001	Financial Management Other
	Total Audit Days for Department
	Grants
3115001	Physical Regeneration
3115002	Business Development
3115003	Community Funding
3115004	Third Party Grants Monitoring
3215001	Education - Arrangements for EIG
3215002	SCHH
3215003	Resources
3315001	Foundation Stage
3315002	DCELLS Post 16
3315003	Bus operators Grant
3315004	Communities 2.0
3315005	Supporting People
3315006	LSB - Development Officer
3315007	LSB - Regional Collaboration
3415001	Financial Management Other
	Total Audit Days for Department

REPORTING SCORES						
Report Date	Issues				Score	Assurance Level
	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues		
				0	0	
				0	0	
				0	0	
				0	0	
28/07/15	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	
04/08/15	0	0	0	0	0	N/A
				0	0	
				0	0	
				0	0	
no report	0	0	0	0	0	N/A
no report	0	0	0	0	0	N/A
08/05/15	0	0	0	0	0	N/A
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	

Job No	Departments	Report Date	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
	Chief Executive Resources							
4115001	Main Accounting					0	0	
4115002	VAT					0	0	
4115003	Capital Accounting incl.Fixed Asset Register					0	0	
4115004	Treasury Management					0	0	
4115005	Investments					0	0	
4115006	Pensions Payroll System					0	0	
4115007	Housing Benefits					0	0	
4115008	Council Tax					0	0	
4115009	NNDR					0	0	
4115010	Payroll System (Carms CC staff & Teachers)					0	0	
4115011	Creditor Payments					0	0	
4115012	Debtors System					0	0	
4115013	Cash Receipting					0	0	
4115014	Banking	05/11/15	0	0	0	0	0	High
4115015	Travel & Subsistence System					0	0	
4115016	Trust Funds	03/09/15	0	0	0	0	0	Acceptable
4215001	Asset Transfer					0	0	
4215002	Property Management					0	0	
4215003	Estate Management - HRA Garages & Land holdings					0	0	
4215004	Provision / livestock markets					0	0	
4315004	Financial Management Other					0	0	
	Total Audit Days for Department							
	Community Services							
5115001	Tenant Involvement					0	0	
5115002	Tenancy Mgt					0	0	
5115003	Voids (incl Building Service involvement)					0	0	
5115004	Travellers Sites	22/05/15	0	0	0	0	0	High
5115005	Affordable Homes	11/09/15	0	4	2	6	14	Low
5115006	Rents	17/07/15	0	0	0	0	0	
5115007	HRA					0	0	
5215001	Contract Management/Partnerships					0	0	
5215002	Home Care					0	0	
5215003	Meal provision					0	0	
5215004-A	Residential Care - Authority Care Homes					0	0	
5215004-B	Residential Care - Private Care Homes					0	0	
5215005	Financial assessments and Collections	15/09/15	0	0	0	0	0	High
5215006	Deputyship					0	0	
5215007	Learning Disabilities					0	0	
5215008	Safeguarding					0	0	
5215009	Supporting People					0	0	
5215010	Care Line					0	0	
5315001	Licensing and other fees					0	0	
5415001	Theatres					0	0	
5415002	Heritage Services					0	0	
5415003	Libraries	no report	0	0	0	0	0	N/A
5415004	Amman Valley					0	0	
5415005	Carmarthen					0	0	
5415006	Llanelli					0	0	
5415007	South Area Leisure / Education & Workforce					0	0	
5415008	Arrangements for Leisure Trust Status					0	0	
5415009	Countryside Access					0	0	
5415010	Pembrey Country Park / MCP / Country Parks					0	0	
5415011	Ski Slope Mngt and Operational					0	0	
5515001	Financial Management Other	no report	0	0	0	0	0	N/A
	Total Audit Days for Department							

Job No	Departments	Report Date	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
	Chief Executive							
	Environmental Services							
6115001	Building Maintenance (excl Housing voids)					0	0	
6115002	Procurement					0	0	
6115003	Grounds Maintenance					0	0	
6215001	Highway Maintenance (incl. Trunk Roads)					0	0	
6215002	Waste Services					0	0	
6215003	Other Streetwork					0	0	
6215004	Street Lighting					0	0	
6215005	Cleaning Services					0	0	
6315001	Community transport					0	0	
6315002	Parking inc Enforcement	06/07/15	0	0	0	0	0	High
6315003	Management systems (task)					0	0	
6415001	Conservation					0	0	
6515001	Financial Management Other					0	0	
	Total Audit Days for Department							
	Construction / Procurement / Contracts							
6615001	Departmental Contract Management					0	0	
6615002	Contract Partnering Selection					0	0	
6615003	Capital Grant Management					0	0	
6615004	Framework contracts					0	0	
6615005	Dinefwr Reorganisation					0	0	
6615006	Carmarthenshire Homes Standard					0	0	
6615007	MEP					0	0	
6615008	New residential home Carmarthen					0	0	
6615009	Carmarthen West Link Road					0	0	
6615010	Leisure - Museum garden scheme					0	0	
6615011	Stradey Phase 1					0	0	
6715001	Financial Management Other					0	0	
	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	
4415006	NFI	no report	0	0	0	0	0	N/A
4415007	- Agresso Developments					0	0	
4415008	Pensions					0	0	
4415009	-Revenues/ Benefits / DIPS					0	0	
4415010	- Payment Cards					0	0	
4415011	Resources / WWEC - Grants Matrix system					0	0	
4415012	Other Systems - Total Mobile					0	0	
4515001	Financial Management Other					0	0	
	Total Audit Days for Department							

Job No	Departments
	Chief Executive
	School Audits
	Primary Schools
2615001	Maesybont C.P. School.
2615002	Ysgol Gynradd Y Tymbl
2615003	Pontiets C.P. School
2615004	Betws C.P. School
2615005	Ysgol Gynradd Tycroes
2615006	Ysgol Gynradd Parcyrhun
2615007	Nantygroes C.P. School
2615008	Talley C.P School
2615009	Cwrt Henry
2615010	Ysgol Rhys Pritchard
2615011	Llys Hywel Whitland
2615012	Ysgol Gynradd Brynsaron
2615013	Llangennech Junior School
2615014	Hendy C.P. Mixed School
2615015	Brynamman Primary School
2615016	Abernant
2615017	Parc Y Tywyn School
2615018	Pembrey
2615019	Ysgol Beca
2615020	Ysgol Gynradd Hafodwenog
2615021	Llandeilo C.P. School
2615022	Y.G. Cynwyl Elfed
2615023	Halfway C.P. School.
2615024	Pwll C.P. Mixed School
2615025	Ysgol Y Castell
2615026	Penygroes C.P. School
2615027	Ysgol Gynradd Nantgaredig
2615028	Ysgol Gymraeg Gwenllian
2615029	Ysgol Dewi Sant, Llanelli.
2615030	Stebonheath C.P. School
2615031	Ysgol Y Ddwylan
2615032	Ysgol y Fro
2615033	Carreg Hirfaen Foundation School
2615034	Ysgol Cae'r Felin
2615035	Ysgol Y Bedol
2615036	Ysgol Brynteg
2615037	Ferryside V.C.P. School
	Primary Schools
	Secondary Schools
2715001	Ysgol Bro Dinefwr
2715002	Dyffryn Amman
2715003	Dyffryn Taf
2715004	Ysgol Gyfun Emlyn
2715005	Bro Myrddin
2715006	Coedcae
2715007	St John Lloyd
	Secondary Schools
	Additional Work Not Included in Original Plan
	SEG - School Effectiveness Grant
	WEG - Welsh in Education Grant
	14 to 19 Learning Pathways
	Pupil Deprivation Grant
	Pembrey Country Park / MCP / Country Parks
	Ski Slope Mngt and Operational

Report Date	No. of 3* Issues	No. of 2* Issues	No. of 1* Issues	Total No. Issues	Score	Assurance Level
				0	0	
				0	0	
				0	0	
17/09/15	0	0	0	0	0	High
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
16/11/15	0	0	0	0	0	High
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
17/09/15	0	0	1	1	1	High
				0	0	
				0	0	
				0	0	
				0	0	
08/10/15	0	2	2	4	8	Acceptable
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
				0	0	
no report	0	0	0	0	0	N/A
no report	0	0	0	0	0	N/A
				0	0	
				0	0	
				0	0	
				0	0	

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

Assurance Level	Description
High	Good controls consistently applied.
Acceptable	Moderate controls, some areas of non compliance to agreed controls.
Low	Inadequate controls