

INTERNAL AUDIT PLAN 2015 / 2016				Reporting Scores					
2015/16				No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
Job No	Departments	Days Planned	Status						
	<b>Chief Executive</b>								
1115001	Partnership Arrangements	8	Complete				0	0	
1115002	Customer Services	6	Draft Report Issued				0	0	
1115003	Press Office/communication	6	Draft Report Issued				0	0	
1115004	Annual Governance Statement	8	Draft Report Issued				0	0	
1215001	HR Function	10	Draft Report Issued				0	0	
1215002	Modern Records	6	Complete	0	0	0	0	0	High
1215003	Declaration of Interest	10	Draft Report Issued				0	0	
1315001	Financial Management Other	10	Complete	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>	<b>64</b>							
	<b>Education &amp; Children</b>								
2115001	Modernising Education Provisions	6	Complete	0	0	0	0	0	N/A
2215001	Information Management	6					0	0	
2315001	Admissions	6	Complete	0	0	1	1	1	High
2315002	Governor Support	5	Complete	0	2	0	2	6	Acceptable
2315003	School Meals	10	Draft Report Issued				0	0	
2315004	Catering Services	6					0	0	
2315005	Teachers starters & leavers	6	Draft Report Issued				0	0	
2415001	Adoption & Fostering	6	Field Work Complete				0	0	
2415002	Family Support	6					0	0	
2415003	Partnering / Procurement	6					0	0	
2415004	Residential Care	6	Field Work Complete				0	0	
2415005	Safeguarding	6	Terms of Reference Issued				0	0	
2515001	Financial Management Other						0	0	
	<b>Total Audit Days for Department</b>	<b>75</b>							
	<b>Grants</b>								
3115001	Physical Regeneration	10	Terms of Reference Issued				0	0	
3115002	Business Development	5	Draft Report Issued				0	0	
3115003	Community Funding	10	Commenced				0	0	
3115004	Third Party Grants Monitoring	8	Draft Report Issued				0	0	
3215001	Education - Arrangements for EIG	5	Draft Report Issued	0	0	0	0	0	N/A
3215002	SCHH	5					0	0	
3215003	Resources	5	Field Work Complete				0	0	
3315001	Foundation Stage	6	Complete	0	0	0	0	0	Acceptable
3315002	DCELLS Post 16	5	Complete	0	0	0	0	0	N/A
3315003	Bus operators Grant	5	Complete	0	0	0	0	0	N/A
3315004	Communities 2.0	6	Complete	0	0	0	0	0	N/A
3315005	Supporting People	15	Complete	1	0	0	1	5	Low
3315006	LSB - Development Officer	10	Complete	0	0	0	0	0	Low
3315007	LSB - Regional Collaboration	10	Complete	0	0	0	0	0	Low
3415001	Financial Management Other						0	0	
	<b>Total Audit Days for Department</b>	<b>105</b>							
	<b>Resources</b>								
4115001	Main Accounting	15	Field Work Complete				0	0	
4115002	VAT	8	Draft Report Issued				0	0	
4115003	Capital Accounting incl.Fixed Asset Register	15					0	0	
4115004	Treasury Management	7	Complete	0	0	0	0	0	High
4115005	Investments	7	Complete	0	0	0	0	0	High
4115006	Pensions Payroll System	8	Complete	0	0	0	0	0	High
4115007	Housing Benefits	10					0	0	
4115008	Council Tax	10	Draft Report Issued				0	0	
4115009	NNDR	10	Draft Report Issued				0	0	
4115010	Payroll System (Cars CC staff & Teachers)	25	Complete	0	1	0	1	3	Acceptable
4115011	Creditor Payments	20	Draft Report Issued				0	0	
4115012	Debtors System	20					0	0	
4115013	Cash Receipting	8	Complete	0	1	1	2	4	Acceptable
4115014	Banking	8	Complete	0	0	0	0	0	High
4115015	Travel & Subsistence System	10	Commenced				0	0	
4115016	Trust Funds	12	Complete	0	0	0	0	0	Acceptable
4215001	Asset Transfer	8	Pre Audit Meeting				0	0	
4215002	Property Management	8					0	0	
4215003	Estate Management - HRA Garages & Land holdings	8					0	0	
4215004	Provision / livestock markets	8	Pre Audit Meeting				0	0	
4315004	Financial Management Other	10	Complete	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>	<b>235</b>							

Job No	Departments	Days Planned	Status	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
<b>Community Services</b>									
5115001	Tenant Involvement	8	Field Work Complete				0	0	
5115002	Tenancy Mgt	10	Complete	0	0	0	0	0	N/A
5115003	Voids (incl Building Service involvement)	13	Complete	0	0	0	0	0	N/A
5115004	Travellers Sites	4	Complete	0	0	0	0	0	High
5115005	Affordable Homes	6	Complete	0	4	2	6	14	Low
5115006	Rents	8	Complete	0	0	0	0	0	
5115007	HRA	8	Complete	0	2	0	2	6	Acceptable
5215001	Contract Management/Partnerships	10	Field Work Complete				0	0	
5215002	Home Care	15	Commenced				0	0	
5215003	Meal provision	10	Complete	0	4	0	4	12	Acceptable
5215004-A	Residential Care - Authority Care Homes	6	Complete	0	2	3	5	9	Acceptable
5215004-B	Residential Care - Private Care Homes	6	Draft Report Issued				0	0	
5215005	Financial assessments and Collections	7	Complete	0	0	0	0	0	High
5215006	Deputyship	10	Field Work Complete				0	0	
5215007	Learning Disabilities	10	Commenced				0	0	
5215008	Safeguarding	5	Commenced				0	0	
5215009	Supporting People	8	Complete	0	0	0	0	0	N/A
5215010	Care Line	6	Complete	0	0	0	0	0	N/A
5315001	Licensing and other fees	6	Complete	0	0	0	0	0	High
5415001	Theatres	8	Draft Report Issued				0	0	
5415002	Heritage Services	8	Draft Report Issued				0	0	
5415003	Libraries	8	Complete	0	0	0	0	0	N/A
5415004	Amman Valley	5	Draft Report Issued				0	0	
5415005	Carmarthen	5	Complete	0	2	1	3	7	Acceptable
5415006	Llanelli	5	Field Work Complete				0	0	
5415007	South Area Leisure / Education & Workforce	13	Field Work Complete				0	0	
5415008	Arrangements for Leisure Trust Status	5					0	0	
5415009	Countryside Access	5					0	0	
5415010	Pembrey Country Park / MCP / Country Parks	15	Complete	3			3	15	Low
5415011	Ski Slope Mngt and Operational	5	Complete		0	0			
5515001	Financial Management Other	14	Complete	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>	<b>252</b>							
<b>Environmental Services</b>									
6115001	Building Maintenance (excl Housing voids)	6	Commenced				0	0	
6115002	Procurement	8	Commenced				0	0	
6115003	Grounds Maintenance	8	Complete	0	0	0	0	0	N/A
6215001	Highway Maintenance (incl. Trunk Roads)	8	Commenced				0	0	
6215002	Waste Services	8	Draft Report Issued				0	0	
6215003	Other Streetwork	6	Complete	0	0	0	0	0	High
6215004	Street Lighting	5	Complete	0	3	0	3	9	Acceptable
6215005	Cleansing Services	8	Field Work Complete				0	0	
6315001	Community transport	5	Field Work Complete				0	0	
6315002	Parking inc Enforcement	5	Complete	0	0	0	0	0	High
6315003	Management systems (task)	8	Commenced				0	0	
6415001	Conservation	5	Complete	0	2	0	2	6	Acceptable
6515001	Financial Management Other	10	Complete	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>	<b>90</b>							
<b>Procurement / Contracts</b>									
6615001	Departmental Contract Management	10	Field Work Complete				0	0	
6615002	Contract Partnering Selection	10	Field Work Complete				0	0	
6615003	Capital Grant Management	10	Commenced				0	0	
6615004	Framework contracts	15	Field Work Complete				0	0	
6615005	Dinefwr Reorganisation	8	Commenced				0	0	
6615006	Carmarthenshire Homes Standard	8					0	0	
6615007	MEP	8	Commenced				0	0	
6615008	New residential home Carmarthen	8	Complete	0	0	0	0	0	High
6615009	Carmarthen West Link Road	7	Field Work Complete				0	0	
6615010	Leisure - Museum garden scheme	8	Complete	0	0	0	0	0	N/A
6615011	Stradey Phase 1	8	Complete	0	0	0	0	0	N/A
6715001	Financial Management Other	15	Complete	0	0	0	0	0	N/A
	<b>Total Audit Days for Department</b>	<b>115</b>							

Job No	Departments	Days Planned	Status	No. of 3 * Issues	No. of 2 * Issues	No. of 1 * Issues	Total No. Issues	Score	Assurance Level
<b>Computer Audit</b>									
4415001	IT Procurement	15	Draft Report Issued				0	0	
4415002	Corporate File Plan	10	Draft Report Issued				0	0	
4415003	Cloud Computing	10	Commenced				0	0	
4415004	Data Protection	10	Draft Report Issued				0	0	
4415005	Computer Assisted Audit Testing(CAATs)	22	Draft Report Issued				0	0	
4415006	NFI	35	Complete	0	0	0	0	0	N/A
4415007	- Agresso Developments	8	Complete	0	0	0	0	0	N/A
4415008	Pensions	8	Complete	0	0	0	0	0	High
4415009	-Revenues/ Benefits / DIPS	9	Draft Report Issued				0	0	
4415010	- Payment Cards	10	Complete	0	0	0	0	0	N/A
4415011	Resources / WWEC - Grants Matrix system	10	Complete	0	0	0	0	0	N/A
4415012	Other Systems - Total Mobile	13	Draft Report Issued				0	0	
4515001	Financial Management Other	4	Complete	0	0	0	0	0	N/A
<b>Total Audit Days for Department</b>		<b>164</b>							
<b>School Audits</b>									
<b>Primary Schools</b>									
2615001	Maesybont C.P. School.	3	Draft Report Issued				0	0	
2615002	Ysgol Gynradd Y Tymbl	3	Draft Report Issued				0	0	
2615003	Pontiets C.P. School	3	Terms of Reference Issued				0	0	
2615004	Betws C.P. School	3	Complete	0	0	0	0	0	High
2615005	Ysgol Gynradd Tycroes	3	Draft Report Issued				0	0	
2615006	Ysgol Gynradd Parcyrhun	3	Draft Report Issued				0	0	
2615007	Llansadwrn	3	Draft Report Issued				0	0	
2615008	Talley C.P School	3	Draft Report Issued				0	0	
2615009	Cwrt Henry	3	Draft Report Issued				0	0	
2615010	Ysgol Rhys Pritchard	3	Complete	0	0	0	0	0	High
2615011	Llys Hywel Whitland	3	Complete	0	1	2	3	5	High
2615012	Ysgol Gynradd Brynsaron	3	Draft Report Issued				0	0	
2615013	Llangennech Junior School	3	Draft Report Issued				0	0	
2615014	Hendy C.P. Mixed School	3	Draft Report Issued				0	0	
2615015	Brynamman Primary School	3	Complete	0	0	0	0	0	High
2615016	Abernant	3	Draft Report Issued				0	0	
2615017	Parc Y Tywyn School	3	Draft Report Issued				0	0	
2615018	Pembrey	3	Draft Report Issued				0	0	
2615019	Ysgol Beca	3	Complete	0	0	1	1	1	High
2615020	Ysgol Gynradd Hafodwenog	3	Draft Report Issued				0	0	
2615021	Llandeilo C.P. School	3	Draft Report Issued				0	0	
2615022	Y.G. Cynwyl Elfed	3	Draft Report Issued				0	0	
2615023	Halfway C.P. School.	3	Draft Report Issued				0	0	
2615024	Pwll C.P. Mixed School	3	Draft Report Issued				0	0	
2615025	Ysgol Y Castell	3	Complete	0	0	1	1	1	High
2615026	Penygroes C.P. School	3	Draft Report Issued				0	0	
2615027	Ysgol Gynradd Nantgaredig	3	Draft Report Issued				0	0	
2615028	Ysgol Gymraeg Gwennlian	3	Complete	0	0	0	0	0	High
2615029	Ysgol Dewi Sant, Llanelli.	3	Draft Report Issued				0	0	
2615030	Stebonheath C.P. School	3	Draft Report Issued				0	0	
2615031	Ysgol Y Ddwylan	3	Draft Report Issued				0	0	
2615032	Ysgol y Fro	3	Complete	0	0	0	0	0	N/A
2615033	Carreg Hirfaen Foundation School	3	Complete	0	2	2	4	8	Acceptable
2615034	Ysgol Cae'r Felin	3	Draft Report Issued				0	0	
2615035	Ysgol Y Bedol	3	Draft Report Issued				0	0	
2615036	Ysgol Brynteg	3	Draft Report Issued				0	0	
2615037	Pentip VA School	3	Draft Report Issued				0	0	
<b>Primary Schools Totals</b>		<b>111</b>							
<b>Secondary Schools</b>									
2715001	Ysgol Bro Dinefwr	7	Draft Report Issued				0	0	
2715002	Dyffryn Amman	7	Draft Report Issued				0	0	
2715003	Dyffryn Taf	7	Complete	0	1	0	1	3	Acceptable
2715004	Ysgol Gyfun Emlyn	7	Draft Report Issued				0	0	
2715005	Bro Myrddin	7	Complete	0	2	2	4	8	Acceptable
2715006	Coedcae	7	Draft Report Issued				0	0	
2715007	St John Lloyd	7	Draft Report Issued				0	0	
<b>Secondary Schools Totals</b>		<b>49</b>							
<b>Total Audit Days for Department</b>		<b>160</b>							
<b>Total All Audits</b>		<b>1260</b>							

Job No	Departments	Days Planned	Status	No. of 3* Issues	No. of 2* Issues	No. of 1* Issues	Total No. Issues	Score	Assurance Level
	<b>Additional Work Not Included in Original Plan</b>								
	SEG - School Effectiveness Grant	15	Complete	0	0	0	0	0	N/A
	WEG - Welsh in Education Grant	15	Complete	0	0	0	0	0	N/A
	14 to 19 Learning Pathways	8	Complete	0	0	0	0	0	N/A
	Pupil Deprivation Grant	15	Complete	0	0	0	0	0	N/A
	EIG additional work (quarterly audits and year end)	25	Complete	0	0	0	0	0	N/A
	Pembrey Country Park / MCP / Counrty Parks	43	Complete	3	0	0	3	15	Low
	Ski Slope Mngt and Operational	12	Complete						
	Waste	30	Draft Report Issued				0	0	
	<b>Total Additional Work</b>	<b>163</b>							
	<b>Total Audit Plan Time</b>	<b>1423</b>							
	<b>Productivity of Total Audit Plan Days as a Percentage of Approved Plan Days</b>								

**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
3 to 10 with no 3* recommendations	Acceptable
11 & over or including 1 or more 3* recommendations	Low

**PRE AUDIT RISK LEVEL**

ASSESSMENT BASED ON A RANGE OF RISKS INCLUDING - BUSINESS, REPUTATIONAL AND FRAUD

**POST AUDIT RISK LEVEL**

ASSESSMENT BASED ON THE RESULTS OF THE REVIEW AND TAKING INTO ACCOUNT THE PRE AUDIT