

INTERNAL AUDIT PLAN 2015 / 2016

2015/16	% Plan Completion to Date	94.1%		% Target March 2016						92.0%
Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Final Report Issued	Days to Date	Status
Chief Executive										
1115001	Partnership Arrangements	8	*	N/A	N/A	N/A	N/A	N/A	8	Complete
1115002	Customer Services	6	*	*	*	*	*	*	6	Complete
1115003	Press Office/communication	6	*	*	*	*	*	*	6	Complete
1115004	Annual Governance Statement	8	*	*	*	*	*	*	8	Complete
1215001	HR Function	10	*	*	*	*	*	*	10	Complete
1215002	Modern Records	6	*	*	*	*	*	*	6	Complete
1215003	Declaration of Interest	10	*	*	*	*	*	*	9	Draft Report Issued
1315001	Financial Management Other (TIG)	10	*	*	*	*	*	*	10	Complete
Total Audit Days for Department		64							63	
Education & Children										
2115001	Modernising Education Provisions	6	*	*	*	*	N/A	N/A	6	Complete
2215001	Information Management	6							0	
2315001	Admissions	6	*	*	*	*	*	*	6	Complete
2315002	Governor Support	5	*	*	*	*	*	*	5	Complete
2315003	School Meals	10	*	*	*	*	*	*	10	Complete
2315004	Catering Services	6	*	*	*	*	*	*	5.4	Draft Report Issued
2315005	Teachers starters & leavers	6	*	*	*	*	*	*	5.4	Draft Report Issued
2415001	Adoption & Fostering	6	*	*	*	*	*	*	5.4	Draft Report Issued
2415002	Family Support	6	*	*	*	*	*	N/A	6	Complete
2415003	Partnering / Procurement	6	n/a	n/a	n/a	n/a	n/a	n/a	6	Complete
2415004	Residential Care	6	*	*	*	*	*	*	6	Complete
2415005	Safeguarding	6	*	*	*	*	*	*	0	Commenced
2515001	Financial Management Other									
Total Audit Days for Department		75							61.2	
Grants										
3115001	Physical Regeneration	10	*	*	*	*	*	*	9	Draft Report Issued
3115002	Business Development	5	*	*	*	*	*	*	4.5	Draft Report Issued
3115003	Community Funding	10	*	*	*	*	*	*	9	Draft Report Issued
3115004	Third Party Grants Monitoring	8	*	*	*	*	*	*	7.2	Draft Report Issued
3215001	Education - Arrangements for EIG	5	*	*	*	*	*	*	5	Complete
3215002	SCHH	5	*	*	*	*	*	*	0	Commenced
3215003	Resources	5	*	*	*	*	*	*	4.5	Draft Report Issued
3315001	Foundation Stage	6	*	*	*	*	*	*	6	Complete
3315002	DCELLS Post 16	5	*	*	*	*	*	*	5	Complete
3315003	Bus operators Grant	5	*	*	*	*	*	*	5	Complete
3315004	Communities 2.0	6	*	*	*	*	*	*	6	Complete
3315005	Supporting People	15	*	*	*	*	*	*	15	Complete
3315006	LSB - Development Officer	10	*	*	*	*	*	*	10	Complete
3315007	LSB - Regional Collaboration	10	*	*	*	*	*	*	10	Complete
3415001	Financial Management Other									
Total Audit Days for Department		105							96.2	

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Resources										
4115001	Main Accounting	15	*	*	*	*	*		13.5	Draft Report Issued
4115002	VAT	8	*	*	*	*	*	*	8	Complete
4115003	Capital Accounting incl.Fixed Asset Register	15	*	*	*	*	*	*	15	Complete
4115004	Treasury Management	7	*	*	*	*	*	*	7	Complete
4115005	Investments	7	*	*	*	*	*	*	7	Complete
4115006	Pensions Payroll System	8	*	*	*	*	*	*	8	Complete
4115007	Housing Benefits	10	*	*	*	*	*		9	Draft Report Issued
4115008	Council Tax	10	*	*	*	*	*		9	Draft Report Issued
4115009	NNDR	10	*	*	*	*	*		9	Draft Report Issued
4115010	Payroll System (Cars CC staff & Teachers)	25	*	*	*	*	*	*	25	Complete
4115011	Creditor Payments	20	*	*	*	*	*	*	20	Complete
4115012	Debtors System	20	*	*	*	*	*	*	18	Draft Report Issued
4115013	Cash Receipting	8	*	*	*	*	*	*	8	Complete
4115014	Banking	8	*	*	*	*	*	*	8	Complete
4115015	Travel & Subsistence System	10	*	*	*	*	*		0	Commenced
4115016	Trust Funds	12	*	*	*	*	*	*	12	Complete
4215001	Asset Transfer	8	*	*	*	*	*		7.2	Draft Report Issued
4215002	Property Management	8	*	*	*	*	*	N/A	8	Complete
4215003	Estate Management - HRA Garages & Land holdings	8	*	*	*	*	*	*	8	Deferred
4215004	Provision / livestock markets	8	*	*	*	*	*		6	Field Work Complete
4315004	Financial Management Other	10	*	*	*	*	*	*	10	Complete
Total Audit Days for Department		235							215.7	
Community Services										
5115001	Tenant Involvement	8	*	*	*	*	*	*	8	Complete
5115002	Tenancy Mgt	10	*	*	*	*	N/A	N/A	10	Complete
5115003	Voids (incl Building Service involvement)	13	*	*	*	*	*	*	13	Complete
5115004	Travellers Sites	4	*	*	*	*	*	*	4	Complete
5115005	Affordable Homes	6	*	*	*	*	*	*	6	Complete
5115006	Rents	8	*	*	*	*	*	*	8	Complete
5115007	HRA	8	*	*	*	*	*	*	8	Complete
5215001	Contract Management/Partnerships	10	*	*	*	*	*	*	10	Complete
5215002	Home Care	15	*	*	*	*	*	*	13.5	Draft Report Issued
5215003	Meal provision	10	*	*	*	*	*	*	10	Complete
5215004-A	Residential Care - Authority Care Homes	6	*	*	*	*	*	*	6	Complete
5215004-B	Residential Care - Private Care Homes	6	*	*	*	*	*	*	6	Complete
5215005	Financial assessments and Collections	7	*	*	*	*	*	*	7	Complete
5215006	Deputyship	10	*	*	*	*	*	*	9	Draft Report Issued
5215007	Learning Disabilities	10	*	*	*	*	*	*	10	Complete
5215008	Safeguarding	5	*	*	*	*	*	*	5	Complete
5215009	Supporting People	8	*	*	*	*	*	*	8	Complete
5215010	Care Line	6	*	*	*	N/A	N/A	N/A	6	Complete
5315001	Licensing and other fees	6	*	*	*	*	*	*	6	Complete
5415001	Theatres	8	*	*	*	*	*		7.2	Draft Report Issued
5415002	Heritage Services	8	*	*	*	*	*		7.2	Draft Report Issued
5415003	Libraries	8	*	*	*	*	N/A	N/A	8	Complete
5415004	Amman Valley	5	*	*	*	*	*	*	5	Complete
5415005	Carmarthen	5	*	*	*	*	*	*	5	Complete
5415006	Llanelli	5	*	*	*	*			3.75	Field Work Complete
5415007	South Area Leisure / Education & Workforce	13	*	*	*	*	*		11.7	Draft Report Issued
5415008	Arrangements for Leisure Trust Status	5	N/A	N/A	N/A	N/A	N/A	N/A	5	Complete
5415009	Countryside Access	5	*	*	*	*	*	*	4.5	Draft Report Issued
5415010	Pembrey Country Park / MCP / Country Parks	15	*	*	*	*	*	*	15	Complete
5415011	Ski Slope Mngt and Operational	5	*	*	*	*	*	*	5	Complete
5515001	Financial Management Other (Safeguarding - extra)	14	*	*	*	*	*	*	14	Complete
Total Audit Days for Department		252							244.85	

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Environmental Services										
6115001	Building Maintenance (excl Housing voids)	6	*	*	*	*	*	n/a	6	Complete
6115002	Procurement	8	*	*	*	*	*	n/a	8	Complete
6115003	Grounds Maintenance	8	*	*	*	*	*	*	8	Complete
6215001	Highway Maintenance (incl. Trunk Roads)	8	*	*	*	*	*	*	6	Field Work Complete
6215002	Waste Services	8	*	*	*	*	*	*	7.2	Draft Report Issued
6215003	Other Streetwork	6	*	*	*	*	*	*	6	Complete
6215004	Street Lighting	5	*	*	*	*	*	*	5	Complete
6215005	Cleansing Services	8	*	*	*	*	*	N/A	8	Complete
6315001	Community transport	5	*	*	*	*	*	*	5	Complete
6315002	Parking inc Enforcement	5	*	*	*	*	*	*	5	Complete
6315003	Management systems (task)	8	*	*	*	*	*	N/A	8	Complete
6415001	Conservation	5	*	*	*	*	*	*	5	Complete
6515001	Financial Management Other	10	*	*	*	*	*	*	10	Complete
Total Audit Days for Department		90							87.2	
Procurement / Contracts										
6615001	Departmental Contract Management	10	*	*	*	*	*	*	7.5	Field Work Complete
6615002	Contract Partnering Selection	10	*	*	*	*	*	N/A	10	Complete
6615003	Capital Grant Management	10	*	*	*	*	*	*	9	Draft Report Issued
6615004	Framework contracts	15	*	*	*	*	*	*	15	Complete
6615005	Dinefwr Reorganisation	8	*	*	*	*	*	*	8	Complete
6615006	Carmarthenshire Homes Standard	8	*	*	*	*	N/A	N/A	8	Complete
6615007	MEP	8	*	*	*	*	*	*	7.2	Draft Report Issued
6615008	New residential home Carmarthen	8	*	*	*	*	*	*	8	Complete
6615009	Carmarthen West Link Road	7	*	*	*	*	*	*	7	Complete
6615010	Leisure - Museum garden scheme	8	*	*	*	*	n/a	n/a	8	Complete
6615011	Stradey Phase 1	8	*	*	*	*	n/a	n/a	8	Complete
6715001	Financial Management Other	15	*	*	*	*	*	*	15	Complete
Total Audit Days for Department		115							110.7	
Computer Audit										
4415001	IT Procurement	15	*	*	*	*	*	*	13.5	Draft Report Issued
4415002	Corporate File Plan	10	*	*	*	*	*	*	9	Draft Report Issued
4415003	Cloud Computing	10	*	*	*	*	*	*	0	Commenced
4415004	Data Protection	10	*	*	*	*	*	*	9	Draft Report Issued
4415005	Computer Assisted Audit Testing(CAATs)	22	*	*	*	*	*	*	22	Complete
4415006	NFI	35	*	*	*	*	n/a	n/a	35	Complete
4415007	- Agresso Developments	8	*	*	*	*	n/a	n/a	8	Complete
4415008	Pensions	8	*	*	*	*	*	*	8	Complete
4415009	-Revenues/ Benefits / DIPS	9	*	*	*	*	*	*	9	Complete
4415010	- Payment Cards	10	*	*	*	*	*	*	10	Complete
4415011	Resources / WWEC - Grants Matrix system	10	*	*	*	*	n/a	n/a	10	Complete
4415012	Other Systems - Total Mobile	13	*	*	*	*	*	*	13	Complete
4515001	Financial Management Other	4	*	*	*	*	*	*	4	Complete
Total Audit Days for Department		164							150.5	

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Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Final Report Issued	Days to Date	Status
School Audits										
Primary Schools										
2615001	Maesybont C.P. School.	3	*	*	*	*	*	*	3	Complete
2615002	Ysgol Gynradd Y Tymbl	3	*	*	*	*	*	*	3	Complete
2615003	Pontiets C.P. School	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615004	Betws C.P. School	3	*	*	*	*	*	*	3	Complete
2615005	Ysgol Gynradd Tycroes	3	*	*	*	*	*	*	3	Complete
2615006	Ysgol Gynradd Parcyrhun	3	*	*	*	*	*	*	3	Complete
2615007	Llansadwrn	3	*	*	*	*	*	*	3	Complete
2615008	Talley C.P School	3	*	*	*	*	*	*	3	Complete
2615009	Cwrt Henry	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615010	Ysgol Rhys Pritchard	3	*	*	*	*	*	*	3	Complete
2615011	Llys Hywel Whitland	3	*	*	*	*	*	*	3	Complete
2615012	Ysgol Gynradd Brynsaron	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615013	Llangennech Junior School	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615014	Hendy C.P. Mixed School	3	*	*	*	*	*	*	3	Complete
2615015	Brynamman Primary School	3	*	*	*	*	*	*	3	Complete
2615016	Abernant	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615017	Parc Y Tywyn School	3	*	*	*	*	*	*	3	Complete
2615018	Pembrey	3	*	*	*	*	*	*	3	Complete
2615019	Ysgol Beca	3	*	*	*	*	*	*	3	Complete
2615020	Ysgol Gynradd Hafodwenog	3	*	*	*	*	*	*	3	Complete
2615021	Llandeilo C.P. School	3	*	*	*	*	*	*	3	Complete
2615022	Y.G. Cynwyl Elfed	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615023	Halfway C.P. School.	3	*	*	*	*	*	*	3	Complete
2615024	Pwll C.P. Mixed School	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615025	Ysgol Y Castell	3	*	*	*	*	*	*	3	Complete
2615026	Penygroes C.P. School	3	*	*	*	*	*	*	3	Complete
2615027	Ysgol Gynradd Nantgaredig	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615028	Ysgol Gymraeg Gwenllian	3	*	*	*	*	*	*	3	Complete
2615029	Ysgol Dewi Sant, Llanelli.	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615030	Stebonheath C.P. School	3	*	*	*	*	*	*	3	Complete
2615031	Ysgol Y Ddwylan	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615032	Ysgol y Fro	3	n/a	n/a	n/a	n/a	n/a	n/a	3	Complete
2615033	Carreg Hirfaen Foundation School	3	*	*	*	*	*	*	3	Complete
2615034	Ysgol Cae'r Felin	3	*	*	*	*	*	*	2.7	Draft Report Issued
2615035	Ysgol Y Bedol	3	*	*	*	*	*	*	3	Complete
2615036	Ysgol Brynteg	3	*	*	*	*	*	*	3	Complete
2615037	Pentip VA School	3	*	*	*	*	*	*	2.7	Draft Report Issued
Primary Schools Totals		111							107.4	
Secondary Schools										
2715001	Ysgol Bro Dinefwr	7	*	*	*	*	*	*	7	Complete
2715002	Dyffryn Amman	7	*	*	*	*	*	*	7	Complete
2715003	Dyffryn Taf	7	*	*	*	*	*	*	7	Complete
2715004	Ysgol Gyfun Emlyn	7	*	*	*	*	*	*	7	Complete
2715005	Bro Myrddin	7	*	*	*	*	*	*	7	Complete
2715006	Coedcae	7	*	*	*	*	*	*	7	Complete
2715007	St John Lloyd	7	*	*	*	*	*	*	7	Complete
Secondary Schools Totals		49							49	
Total Audit Days for Department		160							156.4	
Total Approved Plan Days		1260							1186	
Additional Work Not Included in Original Plan										
	SEG - School Effectiveness Grant	15	*	*	*	*	*	*	15.0	Complete
	WEG - Welsh in Education Grant	15	*	*	*	*	*	*	15.0	Complete
	14 to 19 Learning Pathways	8	*	*	*	*	*	*	8.0	Complete
	Pupil Deprivation Grant	15	*	*	*	*	*	*	15.0	Complete
	EIG additional work (quarterly audits and year end)	25	*	*	*	*	*	*	25.0	Complete
	Pembrey Country Park / MCP / Country Parks	43	*	*	*	*	*	*	43.0	Complete
	Ski Slope Mngt and Operational	12	*	*	*	*	*	*	12.0	Complete
	Waste	30	*	*	*	*	*	*	27.0	Draft Report Issued
	MWWFRS	35	*	*	*	*	*	*	31.5	Draft Report Issued
Total Additional Work		198							191.5	
Total Audit Plan Time		1458							1377.3	