

INTERNAL AUDIT ANNUAL PLAN 2014/15 - SUMMARY

Categories of Audit Work	Plan	Plan	%
	2013/14 Days	2014/15 Days	
Regularity Audits			
1. People	639	462	16.8
2. Place	433	419	15.2
3. Corporate Services	108	200	7.2
Systems Audits	447	389	14.1
Computer Audits	77	102	3.8
Contract Audits	15	5	0.2
Projects and Special Investigations			
1. Projects	214	214	7.8
2. Special Investigations	110	110	4.0
Miscellaneous Audits	5	0	0.0
Productive Days	2048	1901	69.1
Other Activities			
1. Staff Training	113	92	3.3
2. Holidays, Sick & Special Leave	527	489	17.7
3. Admin, Planning, Control, Clerical Support etc	197	197	7.1
4. Contingencies	38	60	2.2
5. Voluntary Reduction in Hours	52	0	0.0
6. Vacancies	24	0	0.0
7. Non Audit Work	17	17	0.6
Non Productive Days	968	855	30.9
Total Days	3016	2756	100.0

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Head of Education Planning & Resources			
Primary Schools	Medium	106	Assurance
Secondary Schools	Medium	40	Assurance
School Kitchens	Medium	10	Assurance
Total		156	
Head of Education Improvement			
Ethnic Minority Language & Achievement Service	Medium	10	Assurance
Music Service	Medium	10	Assurance
Support for the Arts	Medium	5	Assurance
Total		25	
Head of Education Inclusion			
Access to Learning - Management & Admin	Medium	10	Assurance
Psychology Service	Medium	5	Assurance
Recoupment	Medium	5	Assurance
SEN Support & Statementing	Medium	5	Assurance
Behaviour & Learning Support	Medium/Low	5	Assurance
Education Welfare Service	Medium	10	Assurance
Education other than at School	Medium	10	Assurance
School & Governor Unit	Low	5	Assurance
Total		55	
Education - Other			
Community Focused Schools Grant	N/A	5	Grant Certification
School Uniform Grant	N/A	5	Grant Certification
Foundation Phase Grant	N/A	5	Grant Certification
Schools Annual Report	N/A	3	Assurance
Total		18	
Head of Child and Family Services			
Admin Support - Lakeside	Medium	6	Assurance
Independent Agency Payments	Medium/High	10	Assurance
Youth Offending Service	Medium/High	10	Assurance
Discretionary Payments	Medium/High	10	Assurance
Use of Taxis	Medium	10	Assurance
Total		46	

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Head of Adult Services			
Home Care	Medium/High	10	Assurance
Morfydd House Admin	Medium	5	Assurance
Integrated Community Equipment Service	New	10	Assurance
Flexible Support Service	Medium	10	Assurance
Adult Family Placements	New	10	Assurance
Self Assessment Checklist	Medium/High	10	Assurance
Total		55	
Directorate Services			
Debt Recovery	High	15	Assurance
TSB Accounts	Medium	5	Assurance
Transport Depot	Medium	15	Assurance
Supporting People Grant	N/A	8	Grant Certification
Staff Development & Training Section	Medium/Low	10	Assurance
Contracting	Medium	10	Assurance
Total		63	
Head of Poverty & Prevention			
Childcare Grants	New	10	Assurance
Flying Start	New	10	Assurance
Families First	New	10	Assurance
Play Team	Medium	6	Assurance
Community Food Growing Team	Medium	8	Assurance
Total		44	
Head of Corporate Building & Property Services			
Heol y Gors - Estimating	Medium	15	Assurance
Oracle Time and Labour	New	15	Assurance
Facilities Management	Medium/Low	5	Assurance
Total		35	
Head of Waste Management			
Skip Hire	Medium/Low	5	Assurance
Waste Enforcement	New	10	Assurance
Total		15	

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Head of Highways & Transportation			
Home to School Transport	Medium	15	Assurance
Road Safety incl. School Crossing Patrols	Low	10	Assurance
Concessionary Bus Fares	N/A	2	Assurance
Taxi Framework Contract	Medium	10	Assurance
Clydach Depot - Stores	Medium	10	Assurance
Clydach Depot - Plant & Fuel	Medium	10	Assurance
Central Transport Unit - Fleet & Spot Hire	Medium	10	Assurance
Total		67	
Head of Housing & Public Protection			
Blaenymaes District Housing Office	Medium	15	Assurance
Townhill District Housing Office	Medium	15	Assurance
Morrison District Housing Office	Medium	15	Assurance
Sketty District Housing Office	Medium	7	Assurance
Void Team / Home Preparation Unit	Medium	15	Assurance
Renewals & Adaptations	Medium	25	Assurance
Trading Standards	Medium	10	Assurance
Rechargeable Works	Medium	5	Assurance
Community Safety & CCTV	Medium	10	Assurance
Total		117	
Head of Culture, Sport, Leisure & Tourism			
Cefn Hengoed Leisure Centre	Medium	10	Assurance
Penlan Leisure Centre	Medium	15	Assurance
Morrison Leisure Centre	Medium	15	Assurance
ACTIVA	New	5	Assurance
Spot Checks	N/A	5	Assurance
Grounds Maintenance	Medium	15	Assurance
Parks Central Operations	Low	6	Assurance
Parks Buildings	Medium	5	Assurance
Branch Libraries	Medium/Low	11	Assurance
Central Library	Medium	15	Assurance
Tourist Information Centre	Low	5	Assurance
Total		107	

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Head of Economic Regeneration and Planning			
Business Development	Medium	15	Assurance
Swansea Market	Medium	20	Assurance
Economic Development Admin	Medium/Low	5	Assurance
European Unit	Medium	8	Assurance
Section 106 Agreements	New	10	Assurance
Rights of Way	New	10	Assurance
Planning and Enforcement	New	10	Assurance
Total		78	
Head of Communications & Consultation			
Communications & Public Relations	Low	10	Assurance
Total		10	
Head of Finance & Delivery			
Cashiers Office	Medium/High	5	Assurance
Write-off Requests by Departments	N/A	20	Assurance
Cashiers Write Offs	N/A	5	Assurance
Housing Advances	Low	5	Assurance
Blue Badges	Medium	5	Assurance
Petty Cash Accounts	Medium	5	Assurance
Car Loans	Medium	5	Assurance
Taxation - VAT	Medium	10	Assurance
Construction Industry Tax Scheme	Medium	10	Assurance
Pension Fund Other	New	10	Assurance
Trusts & Charities	New	10	Assurance
Risk Management	High	10	Assurance
Total		100	
Head of Legal, Democratic Services & Procurement			
Land Charges	Low	10	Assurance
Election Expenses	N/A	10	Assurance
Total		20	
Head of Human Resources			
Flexitime & Security	Medium/High	20	Assurance
Employee Vetting	High	10	Assurance
HR Policies	New	10	Assurance
Officers Expenses	Medium	10	Assurance
Total		50	

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Head of Information & Business Change			
ISiS Authorisation Limits	Medium/High	10	Assurance
Record Management	New	10	Assurance
Total		20	
Fundamental Systems			
Payroll	High	40	Assurance
Pensions	High	20	Assurance
Teachers Pensions	Medium	15	Assurance
Accounts Receivable	High	35	Assurance
NNDR	Medium	39	Assurance
Treasury Management - Borrowing & Investments	Medium	18	Assurance
Accounts Payable	Medium	35	Assurance
Cash	Medium/High	30	Assurance
Housing/Council Tax Benefit	Medium	22	Assurance
Council Tax	Medium	30	Assurance
Capital Accounting	Medium	15	Assurance
Main Accounting System	Medium	20	Assurance
Total		319	
Contract Audits - Systems			
Legal			
Acceptance of Tenders	Medium	10	Assurance
Liquidations	Medium/High	5	Assurance
Procurement			
Contract and Supplier Register	Medium	10	Assurance
Transportation			
Business Case, Tendering and Evaluation	Medium	20	Assurance
Control of Contracts	Medium	15	Assurance
Corporate Building Services			
Tendering	Medium	10	Assurance
Total		70	

INTERNAL AUDIT ANNUAL PLAN 2014/15

Head of Service	Risk Rating	Days 2014/15	Type of Work
Computer Audits			
IT Assets	Medium	10	Assurance
Corporate Network Controls	Medium	10	Assurance
Virtual Server Environment	New	10	Assurance
Corporate Network - Internet Controls	Medium/Low	10	Assurance
Payment Card Industry - Data Security Standard	Medium	5	Assurance
Physical and Environmental Controls	Medium	7	Assurance
Disaster Recovery & Business Continuity	Medium/High	10	Assurance
Software Licences (F.A.S.T.)	Medium/High	5	Assurance
Paris System	Medium	5	Assurance
GCSX & Encryption	New	5	Assurance
Extraction of Data - Miscellaneous	N/A	10	Assurance
Data Matching Exercise - NFI 2014	N/A	10	Assurance
Duplicate Payments - Housing Benefits	N/A	5	Assurance
Total		102	
Contract Audits			
Final Accounts	N/A	3	Assurance
Financial Appraisal of Contractors for Tenders	N/A	2	Assurance
Contract Audit - Total		5	
Projects and Special Investigations			
Fraud Investigations	N/A	100	
Unpresented Cheques > £2,000	N/A	10	
PwC Queries / Draft Reports	N/A	5	
Galileo Audit Management System	N/A	15	
Annual Plan & Annual Report	N/A	30	
Health & Safety Group	N/A	8	
Housing Benefits Panel	N/A	1	
Recommendations Tracker	N/A	15	
Follow Ups	N/A	60	
P Card Review of Purchases	New	25	Assurance
Departmental Gifts & Hospitality Registers	New	15	Assurance
Partnerships - Overview & Governance	New	15	Assurance
Partnership Working with ABMU	New	10	Assurance
Corporate Governance Review	New	15	Assurance
Total		324	
Productive Days - Total		1,901	