

INTERNAL AUDIT ANNUAL PLAN 2015/16

Head of Service	Risk Rating	Days 2015/16	Type of Work
Head of Education Planning & Resources			
Primary Schools	Medium	98	Assurance
Secondary Schools	Medium	40	Assurance
Special Schools	Medium	4	Assurance
School Funding & Information	Medium/High	15	Assurance
School Kitchens	Medium	10	Assurance
Civic Centre Catering	Medium	10	Assurance
Swansea Children's Centre	Medium	5	Assurance
Total		182	
Head of Education Improvement			
Support for the Arts	Medium	5	Assurance
Total		5	
Head of Education Inclusion			
Access to Learning - Management & Admin	Medium	10	Assurance
Psychology Service	Medium	5	Assurance
Recoupment	Medium	5	Assurance
SEN Statementing & Support	Medium	5	Assurance
Behaviour & Learning Support	Medium/Low	5	Assurance
Education Welfare Service	Medium	6	Assurance
Total		36	
Education - Other			
Community Focused Childcare Grant	N/A	5	Grant Certification
School Uniform Grant	N/A	3	Grant Certification
Foundation Phase Grant	N/A	5	Grant Certification
Schools Annual Report	N/A	3	Assurance
Total		16	
Head of Child and Family Services			
Youth Offending Service	Medium/High	10	Assurance
Use of Taxis - Authorisation	Medium	10	Assurance
Safeguarding	New	10	Assurance
Total		30	

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Head of Service	Risk Rating	Days 2015/16	Type of Work
Head of Adult Services			
Unified Assessment of Care	Medium	20	Assurance
Taxi Framework Contract	Medium/High	10	Assurance
Supporting People Grant	N/A	10	Grant Certification
Victoria Park Kiosk	Medium/Low	5	Assurance
Adult Family Placements	New	10	Assurance
Establishments - Self Assessment Checklist	Medium/High	10	Assurance
Total		65	
Directorate Services			
No audits planned			
Total		0	
Head of Poverty & Prevention			
Partnerships, Performance & Commissioning	New	15	Assurance
Young Peoples Service	Medium	15	Assurance
Community Food Growing Team	Medium	8	Assurance
Info-Nation	New	10	Assurance
Community Safety & CCTV	Medium	5	Assurance
Welsh Government Youth Strategy Grant	N/A	5	Grant Certification
Total		58	
Head of Corporate Building & Property Services			
Heol y Gors - Estimating	Medium	15	Assurance
Heol y Gors - Plant	Medium	7	Assurance
Day to Day Repairs - Maintenance Section	Medium/High	25	Assurance
Facilities Management	Medium/Low	5	Assurance
Mail Room	New	5	Assurance
Total		57	
Head of Waste Management			
Domestic Refuse collection	Medium	10	Assurance
Waste Enforcement	New	10	Assurance
Parks Central Operations	Low	6	Assurance
Total		26	

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Head of Service	Risk Rating	Days 2015/16	Type of Work
Head of Highways & Transportation			
Concessionary Bus Fares	N/A	2	Assurance
Car Parks	Medium/High	20	Assurance
Taxi Framework Contract	Medium	10	Assurance
Clydach Depot - Stores	Medium	10	Assurance
Clydach Depot - Plant	Medium	10	Assurance
Streetworks	Medium	10	Assurance
Central Transport Unit - Fleet Maintenance	Medium/High	15	Assurance
Central Transport Unit - Fleet/Spot Hire	Medium	8	Assurance
Central Transport Unit - Fuel	Medium	10	Assurance
Highways Trading Account	New	10	Assurance
Total		105	
Head of Housing & Public Protection			
Eastside District Housing Office	Medium	10	Assurance
Gorseinon District Housing Office	Medium	10	Assurance
West Cross District Housing Office	Medium	10	Assurance
Leasehold Properties	Medium	15	Assurance
Asylum Seekers	Medium/High	10	Assurance
Housing Partnerships	Medium	10	Assurance
National Home Improvement Loan Scheme	New	10	Assurance
Sheltered Housing Service	New	10	Assurance
Burials & Cremations	Medium	10	Assurance
Trading Standards Division	Medium	2	Assurance
Trading Standards NTSB Grant	N/A	5	Grant Certification
Rechargeable Works	Medium	15	Assurance
Total		117	
Head of Cultural Services			
Bishopston Sports Centre	Medium/Low	15	Assurance
Pentrehafod Sports Centre	Medium/Low	5	Assurance
Spot Checks	N/A	5	Assurance
Grand Theatre	Medium/High	25	Assurance
Branch Libraries	Medium/Low	10	Assurance
Total		60	

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Head of Economic Regeneration and Planning			
European Unit	Medium	5	Assurance
Rights of Way	New	10	Assurance
Rural Development Plan	High	10	Assurance
Planning & Enforcement	New	10	Assurance
Planning - AONB	New	10	Assurance
Total		45	
Head of Communications & Consultation			
Executive Board Support	Medium	5	Assurance
Web Development	New	10	Assurance
Total		15	
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
Bank Reconciliation	High	10	Assurance
Petty Cash Accounts	Medium	5	Assurance
Insurance	Medium	10	Assurance
Grants Receivable	Medium/High	15	Assurance
Leasing	Medium	10	Assurance
Taxation - VAT	Medium	10	Assurance
Income Tax - Self Employed	Medium	5	Assurance
Pension Fund Other	New	10	Assurance
Trusts and Charities	New	10	Assurance
Budget Strategy & Setting Process	New	10	Assurance
NPT DEAR Grant	N/A	10	Grant Certification
Private Residential Care Charges	Medium/High	15	Assurance
Social Services Debt Recovery	High	15	Assurance
Short Term Care	Medium	10	Assurance
Total		175	
Head of Legal, Democratic Services & Procurement			
Coroners Service	Medium/High	12	Assurance
P Cards	Medium	15	Assurance
Election Expenses	N/A	10	Assurance
Total		37	

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Head of Human Resources			
Flexicard Machines & Security	Medium/High	20	Assurance
HR Policies	New	10	Assurance
Employment of Agency Staff	New	10	Assurance
Total		40	
Head of Information & Business Change			
Project Management Methodology	New	10	Assurance
Information Management	New	10	Assurance
ICT Contract Transfer	New	10	Assurance
Total		30	
Fundamental Systems			
Payroll	High	40	Assurance
Pensions Administration	High	20	Assurance
Teachers Pensions	Medium	15	Assurance
Accounts Receivable	High	35	Assurance
Business Rates	Medium	22	Assurance
Pension Fund Investments	High	7	Assurance
Housing Rents	Medium	20	Assurance
Accounts Payable	Medium	48	Assurance
Housing & Council Tax Benefit	Medium	40	Assurance
Capital Accounting	Medium	25	Assurance
Main Accounting	Medium	16	Assurance
Total		288	
Contract Audits - Systems			
Legal			
Acceptance of Tenders	Medium	10	Assurance
Liquidations	Medium/High	5	Assurance
Procurement			
Contract Register	Medium	10	Assurance
Highways & Transportation			
Business Case, Tendering & Evaluation	Medium	20	Assurance
Control of Contracts	Medium	15	Assurance
Corporate Building Services			
Tendering	Medium	10	Assurance
Finance/Legal			
Insurance Cover & Performance Bonds	New	10	Assurance
Total		80	

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Head of Service	Risk Rating	Days 2015/16	Type of Work
Computer Audits			
ICT Data Storage	Medium	5	Assurance
ICT Assets	Medium	10	Assurance
Firewall Controls - Corporate	Medium	5	Assurance
Firewall Controls - Education	Medium	5	Assurance
Virtual Server Environment	New	10	Assurance
Payment Card Industry - Data Security Standard	Medium	5	Assurance
Disaster Recovery & Business Continuity	Medium/High	10	Assurance
GCSX & Encryption	New	5	Assurance
Change Control ISiS	High	5	Assurance
Extraction of Data - Miscellaneous	N/A	10	Assurance
Duplicate Payments - Housing Benefits	N/A	5	Assurance
Total		75	
Contract Audits			
Final Accounts	N/A	3	Assurance
Financial Appraisal of Contractors for Tenders	N/A	5	Assurance
Contract Audit - Total		8	
Projects and Special Investigations			
Unpresented Cheques > £2,000	N/A	10	
NFI Data Matching Investigations	N/A	10	
Galileo Audit Management System	N/A	15	
Annual Plan & Annual Report	N/A	15	
Health & Safety Group	N/A	3	
Housing Benefits Adjudication Panel	N/A	1	
Recommendations Tracker	N/A	10	
Follow Ups	N/A	60	
P Card Review of Purchases	N/A	25	Assurance
Departmental Gifts & Hospitality Registers	New	10	Assurance
Review of Corporate Risks	New	25	Assurance
Added Value Work	New	25	Added Value
Total		209	
Productive Days - Total		1,759	