

INTERNAL AUDIT ANNUAL PLAN 2017/18

Head of Service	Risk Rating	Progress as at 30.09.17
Head of Education Planning & Resources		
Brynmill Primary School	Medium	Draft Issued
Casllwchwr Primary School	Medium	Final Issued
Craigcefnparc Primary School	Medium	In Progress
Glais Primary School	Medium	In Progress
Llangyfelach Primary School	Medium	Draft Issued
YGG Gellionnen	Medium	Final Issued
St Illtyds RC Primary School	Medium	In Progress
Clase Primary School	Medium	Draft Issued
Gendros Primary School	Medium	Draft Issued
Gorseinon Primary School	Medium	In Progress
Pentre'r Graig Primary School	Medium	In Progress
Craigfelen Primary School	Medium	In Progress
Cwmrhydyceirw Primary School	Medium	In Progress
Llanridian Primary School	Medium	In Progress
Oystermouth Primary School	Medium	In Progress
Parkland Primary School	Medium	In Progress
Penllergaer Primary School	Medium	In Progress
Tre Uchaf Primary School	Medium	In Progress
Whitestone Primary School	Medium	In Progress
Ynystawe Primary School	Medium	In Progress
Ysgol Cymraeg y Cwm	Medium	In Progress
YGG Llwynderw	Medium	In Progress
YGG Lon Las	Medium	In Progress
YGG Pontybrenin	Medium	Final Issued
YGG Tirdeunaw	Medium	In Progress
YGG Tan-y-Lan	Medium	In Progress
Bishopston Comprehensive School	Medium	Final Issued
Cefn Hengoed Comprehensive School	Medium	Planned
Pontardullais Comprehensive School	Medium	In Progress
Ysgol Gyfun Bryn Tawe	Medium	Planned
Ysgol Crug Glas	Medium	In Progress
School Funding & Information	Medium/High	Planned
Capital Planning & Delivery Unit	Medium/High	Planned
Head of Education Improvement		
Challenge Advisers	Medium	Planned
Head of Education Learner Support Service		
EOTAS Pathways	Medium	In Progress
Home Tuition Service	Medium	Planned
LAC Co-ordinator	New	Planned
Ethnic Minority Achievement Unit	Medium	Planned
School Kitchens	Medium	Planned
Catering Service Headquarters	Medium	Final Issued
Music Service	Medium	Planned

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Education - Other		
School Uniform Grant	N/A	Final Issued
Education Improvement Grant	N/A	Final Issued
Pupil Deprivation Grant	N/A	In Progress
Schools Annual Report	N/A	Final Issued
Head of Child & Family Services		
Independent Agency Payments	Medium/High	Draft Issued
Nant-y-Felin Children's Home	Medium	Final Issued
Adoption Allowances	Medium	In Progress
Foster Swansea	Medium	Planned
Head of Adult Services		
Home Care	Medium/High	Planned
Supporting People Team	Medium	Final Issued
Supporting People Grant	N/A	In Progress
Live Kilometre Support Grant	N/A	Final Issued
Cyrenians - Lessons Learned	New	In Progress
Deprivation of Liberty Safeguards	New	Final Issued
Emergency Placements	New	Planned
CREST	Medium	Draft Issued
Directorate Services		
Client Property and Finance	Medium	In Progress
Staff Development and Training Section	Medium	Planned
Head of Poverty & Prevention		
Partnerships, Performance & Commissioning	New	Planned
Play Team	Medium	Final Issued
Head of Corporate Building & Property Services		
Heol y Gors - Estimating	Medium	Final Issued
Enjergy Management	Medium	In Progress
Head of Waste Management		
Waste Enforcement	New	Planned
Specilaist Parks Services	Medium	Planned
Parks Buildings	Medium	Planned
Head of Highways & Transportation		
Home to School Transport	Medium	Planned
Concessionary Bus Fares	N/A	Planned
Swansea Marina	Medium	Final Issued
Clydach Depot - Finance and Admin	Medium	Planned
Swansea Highways Partnership	New	Planned
Head of Housing & Public Protection		
Townhill District Housing Office	Medium	Final Issued
Sketty District Housing Office	Medium	Final Issued
Voids Team / Homes Preparation Unit	Medium	Final Issued
Renewal Areas	Medium	Draft Issued

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Head of Cultural Services		
Morrison Leisure Centre	Medium	In Progress
Penlan Leisure Centre	Medium	In Progress
Penyrheol Leisure Centre	Medium/High	Final Issued
Penyrheol Theatre	Medium	Final Issued
Glynn Vivian Art Gallery	Medium	Final Issued
Archives	Medium	Final Issued
Spot Checks	Medium	In Progress
Brangwyn Hall and Guildhall Catering	Medium/High	Draft Issued
Head of Planning & City Regeneration		
Development Projects and Joint Ventures	Medium	Planned
Planning & Enforcement	New	Planned
Planning - AONB	New	In Progress
Head of Communications & Customer Engagement		
Scrutiny	New	In Progress
Head of Finance & Delivery		
Cashiers Office	Medium/High	Planned
Write-off Requests by Departments	N/A	Planned
Cashiers Write Offs	N/A	Planned
Car Loans	Medium	Final Issued
Risk Management	High	Planned
Private Residential Care Charges	Medium/High	Planned
Funded Nursing Care	Medium	Planned
Short Term Care	Medium	Planned
Abacus Income Collection	New	Final Issued
TSB Accounts	Medium/High	Planned
Learning Disability Recharges	New	Planned
Head of Legal & Democratic Services		
Freedom of Information	New	Planned
Debt Recovery Process	New	Final Issued
Head of Human Resources		
Officers Expenses	Medium	Final Issued
Emergency Planning and Civil Contingencies	Medium	Planned
Head of Information & Business Change		
Project Management Methodology	New	Planned
Strategic Projects - Administration	Medium	Final Issued
Head of Commercial Services		
No planned audits		

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Fundamental Systems		
Payroll	High	Planned
Pensions Administration	High	Planned
Teachers Pensions	Medium	Planned
Accounts Receivable	High	Planned
Business Rates	Medium	Planned
Pension Fund Investments	High	Planned
Housing Rents	Medium	Planned
Housing & Council Tax Benefit	Medium	Planned
Capital Accounting	Medium	Planned
Contract Audits - Systems		
Legal Liquidations, Insurance Cover & Performance Bonds	Medium/High	Planned
Highways & Transportation Control of Contracts	Medium	Final Issued
Corporate Building Services Tendering	Medium	Final Issued
Housing Systems Overview	Medium	Planned
Housing Renewal Areas	Medium	Planned
Social Services Tendering, Letting & Monitoring	New	In Progress
Computer Audits		
File Controls	Medium	Planned
Data Storage	Medium	Planned
Network Controls - Corporate Network	Medium	Planned
Firewall Controls - Corporate Network	Medium	Planned
Payment Card Industry - Data Security Standard	Medium	Planned
e-Commerce Controls	Medium	Planned
Physical and Environmental Controls	Medium/High	Planned
Computer Operations	Medium/High	Planned
Application Controls - Flare System	Medium	Planned
Application Controls - Fostercare System	Medium	Planned
Application Controls - CRM System	N/A	Planned
Change Control - Oracle	High	Planned
Digital Strategy	High	Planned
Extraction of Data - Miscellaneous	N/A	Planned
Contract Audits		
Final Accounts	N/A	Planned
Financial Appraisal of Contractors for Tenders	N/A	Planned

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Cross Cutting Audits		
Corporate Governance Review	New	Planned
Partnerships - Overview and Governance	New	Planned
Review of Corporate Risks	New	Final Issued
Added Value Work	New	Planned
Delegated Decision Making	New	Planned
Ethics & Values	New	Planned
Review of Senior Management Assurance Statements	New	Planned
Officer's Code of Conduct	New	Planned
Whistleblowing Policy	New	Planned
Miscellaneous Audits		
Swansea Bay Port Health Authority	New	Final Issued
Projects and Special Investigations		
Unpresented Cheques > £2,000	N/A	Planned
Galileo Audit Management System	N/A	Final Issued
Annual Plan & Annual Report	N/A	Planned
Health & Safety Group	N/A	Planned
Recommendations Tracker	N/A	In Progress
Follow Ups	N/A	Final Issued
Development of Audit Programmes	N/A	Final Issued
Compliance with Pay Policy	New	Planned
P Card Review of Purchases	N/A	Planned
PSIAS External Assessment	N/A	Planned