

INTERNAL AUDIT ANNUAL PLAN 2017/18

Head of Service	Risk Rating	Progress as at 31/03/18
Head of Education Planning & Resources		
Brynmill Primary School	Medium	Final Issued
Casllwchwr Primary School	Medium	Final Issued
Craigcefnparc Primary School	Medium	Final Issued
Glais Primary School	Medium	Final Issued
Llangyfelach Primary School	Medium	Final Issued
YGG Gellionnen	Medium	Final Issued
St Illtyds RC Primary School	Medium	Final Issued
Clase Primary School	Medium/High	Final Issued
Gendros Primary School	Medium	Final Issued
Gorseinon Primary School	Medium/High	Final Issued
Pentre'r Graig Primary School	Medium	Final Issued
Craigfelen Primary School	Medium	Final Issued
Cwmrhydyceirw Primary School	Medium	Final Issued
Llanridian Primary School	Medium	Final Issued
Oystermouth Primary School	Medium	Final Issued
Parkland Primary School	Medium	Final Issued
Penllergaer Primary School	Medium	Final Issued
Tre Uchaf Primary School	Medium	Final Issued
Whitestone Primary School	Medium	Final Issued
Ynystawe Primary School	Medium	Final Issued
Ysgol Cymraeg y Cwm	Medium	Final Issued
YGG Llwynderw	Medium	In Progress
YGG Lon Las	Medium	Final Issued
YGG Pontybrenin	Medium	Final Issued
YGG Tirdeunaw	Medium	Final Issued
YGG Tan-y-Lan	Medium	Final Issued
Bishopston Comprehensive School	Medium	Final Issued
Cefn Hengoed Comprehensive School	Medium	Final Issued
Pontardullais Comprehensive School	Medium	Final Issued
Ysgol Gyfun Bryn Tawe	Medium	Final Issued
Ysgol Crug Glas	Medium	Final Issued
School Funding & Information	Medium/High	In Progress
Capital Planning & Delivery Unit	Medium	Final Issued
Head of Education Improvement		
Challenge Advisers	Medium	Final Issued
Head of Education Learner Support Service		
EOTAS Pathways	Medium	Final Issued
Home Tuition Service	Medium	Final Issued
LAC Co-ordinator	New	Final Issued
Ethnic Minority Achievement Unit	Medium	Final Issued
School Kitchens	Medium	Deferred
Catering Service Headquarters	High	Final Issued
Music Service	Medium	Final Issued

INTERNAL AUDIT ANNUAL PLAN 2017/18

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

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

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Housing Rents	Medium	Final Issued
Housing & Council Tax Benefit	Medium	Draft Issued
Capital Accounting	Medium	In Progress
Contract Audits - Systems		
Legal		
Liquidations, Insurance Cover & Performance Bonds	Medium/High	Deferred
Highways & Transportation		
Control of Contracts	Medium/High	Final Issued
Corporate Building Services		
Tendering	Medium/High	Final Issued
Housing Systems Overview	Medium	Deferred
Housing Renewal Areas	Medium	Deferred
Social Services		
Tendering, Letting & Monitoring	New	Final Issued
Computer Audits		
File Controls	Medium	In Progress
Data Storage	Medium	Final Issued
Network Controls - Corporate Network	Medium	In Progress
Firewall Controls - Corporate Network	Medium	In Progress
Payment Card Industry - Data Security Standard	Medium	Deferred
e-Commerce Controls	Medium	Deferred
Physical and Environmental Controls	Medium/High	Deferred
Computer Operations	Medium/High	Deferred
Application Controls - Flare System	Medium	In Progress
Application Controls - Fostercare System	Medium	Deferred
Application Controls - CRM System	N/A	Deferred
Change Control - Oracle	High	Final Issued
Digital Strategy	High	Deferred
Extraction of Data - Miscellaneous	N/A	Final Issued
Contract Audits		
Final Accounts	N/A	Final Issued
Financial Appraisal of Contractors for Tenders	N/A	Final Issued
Cross Cutting Audits		
Corporate Governance Review	New	Deferred
Partnerships - Overview and Governance	New	Deferred
Review of Corporate Risks	Medium/High	Final Issued
Added Value Work	N/A	Final Issued
Delegated Decision Making	New	Deferred
Ethics & Values	New	Deferred
Review of Senior Management Assurance Statements	New	In Progress
Officer's Code of Conduct	New	Final Issued
Whistleblowing Policy	New	Final Issued
Miscellaneous Audits		
Swansea Bay Port Health Authority	Medium	Final Issued

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Projects and Special Investigations		
Unpresented Cheques > £2,000	N/A	Final Issued
Galileo Audit Management System	N/A	Final Issued
Annual Plan & Annual Report	N/A	Final Issued
Health & Safety Group	N/A	Final Issued
Recommendations Tracker	N/A	Final Issued
Follow Ups	N/A	Final Issued
Development of Audit Programmes	N/A	Final Issued
Compliance with Pay Policy	N/A	Final Issued
P Card Review of Purchases	N/A	Final Issued
PSIAS External Assessment	N/A	Final Issued