

## INTERNAL AUDIT ANNUAL PLAN 2018/19

Head of Service	Risk Rating	Progress as at 31/12/18
<b>Education Planning &amp; Resources</b>		
Danygraig Primary	Med/High	Final Issued
Mayals Primary	Medium	Final Issued
Y.G.G. Bryn-y-Mor	Low	Final Issued
Christchurch Ch.in Wales	Medium	Draft Issued
Bwrlais Primary	Medium	Final Issued
Dunvant Primary	Medium	Final Issued
Brynhyfryd Primary	Medium	Final Issued
Pontlliw Primary	Medium	Final Issued
Talycopa Primary	Medium	Final Issued
Gowerton Primary	Medium	Final Issued
Sketty Primary	Medium	Final Issued
Terrace Road Primary	Medium	In Progress
Cila Primary	Low	Final Issued
Townhill Community Primary	Medium	Final Issued
Hendrefoilan Primary	Medium	Final Issued
Penclawdd Primary	Medium	In Progress
Gors Community Primary	Medium	Final Issued
Knelston Primary	Low	Final Issued
Y.G.G. Y Login Fach	Medium	Final Issued
Y.G.G. Bryniago	Medium	Final Issued
Newton Primary	Medium	Final Issued
St. Helen's Primary	Low/Med	Final Issued
Trallwn Primary	Medium	Final Issued
Portmead Primary	Medium	Final Issued
Gowerton Comprehensive	Medium	Final Issued
Birchgrove Comprehensive	Low	In Progress
Bishop Gore Comprehensive	Low	Final Issued
Dylan Thomas Comprehensive	Medium	Final Issued
Arts in Education	Low/Med	Final Issued
<b>Achievement &amp; Partnership Service</b>		
Welsh Service	New	Deferred
<b>Vulnerable Learner Service</b>		
Education Welfare Service	Medium	Final Issued
Catering Service – Civic Centre	Low/Med	Final Issued
Cleaning Service	Medium	Final Issued
<b>Education – Other</b>		
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
<b>Child &amp; Family Services</b>		
Grants & Contracts	Med/High	Final Issued

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<b>Adult Services</b>		
Community Alarm Service	Medium	Final Issued
Integrated Community Equipment & Suresprung	High	Final Issued
Service Users Assessment of Care	Medium	In Progress
Supporting People Grant	N/A	Final Issued
Suresprung - Work Choice Program	N/A	In Progress
Self Assessment Checklists	Med/High	In Progress
<b>Social Services – Directorate Services</b>		
No audits planned		
<b>Poverty &amp; Prevention</b>		
Swansea Children's Centre & Mayhill Centre	Medium	Final Issued
Early Intervention Services	<i>New</i>	Final Issued
<b>Corporate Building Services</b>		
Admin & Finance	Low/Med	In Progress
<b>Corporate Property Services</b>		
No audits planned		
<b>Waste Management &amp; Parks</b>		
Domestic Refuse Collection	Medium	Final Issued
Grounds Maintenance	Medium	Final Issued
<b>Highways &amp; Transportation</b>		
Concessionary Bus Fares	N/A	Final Issued
Car Parks	Med/High	Final Issued
Clydach Depot – Fuel & Plant	Medium	Final Issued
Streetworks	Medium	Final Issued
CTU Fleet Hire / Spot Hire	Medium	Final Issued
Traffic Orders	<i>New</i>	In Progress
Taxi Framework Contract – Adult Services	Medium	Final Issued
Live Kilometre Support Grant	N/A	Final Issued
<b>Housing &amp; Public Protection</b>		
Housing Options	Medium	Final Issued
Eastside District Housing Office	Medium	Final Issued
Morrison & Clase District Housing Offices	Medium	Final Issued
Neighbourhood Support Unit	Medium	Final Issued
Housing Loans and Grants	Medium	Final Issued
Affordable Housing	<i>New</i>	Final Issued
Building Regulations	Low/Med	Final Issued
Trading Standards Division	Low/Med	Final Issued
Rechargeable Works	Medium	Final Issued
<b>Cultural Services</b>		
Outdoor Leisure	Medium	Final Issued
St Helens Ground	Low/Med	Final Issued
Plantasia	Medium	Final Issued
Grand Theatre	Med/High	Final Issued

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Central Library	Medium	Final Issued
Record Management	<i>New</i>	Final Issued
<b>Planning &amp; City Regeneration</b>		
Section 106 Agreements	High	Deferred
Landscape	<i>New</i>	In Progress
Nature Conservation	<i>New</i>	In Progress
<b>Communications &amp; Marketing</b>		
Civic Admin, Mayoral Services & Mansion House	Low/Med	Final Issued
<b>Financial Services &amp; Service Centre</b>		
Cashiers Office	Med/High	In Progress
Write Off Requests by Departments	N/A	In Progress
Cashiers Write Offs	N/A	In Progress
Bank Reconciliations	Medium	Final Issued
School Bank Reconciliations	Medium	Draft Issued
Petty Cash Accounts	Low	Final Issued
Grants Receivable	Med/High	In Progress
Leasing	Medium	Final Issued
Income Tax – Self Employed	Medium	In Progress
Construction Industry Tax Scheme	Medium	Final Issued
Risk Management	High	Final Issued
Blue Badges	Medium	Final Issued
Budget Strategy & Management	<i>New</i>	Deferred
Performance Indicators	<i>New</i>	Final Issued
Residential Contributions – Assessments	Medium	In Progress
Debt Recovery	High	Deferred
Fairer Charging	Medium	In Progress
Adult Family Placements	<i>New</i>	In Progress
Flexicard Machines and Security	Med/High	Final Issued
<b>Legal, Democratic Services &amp; Business Intel</b>		
Land Charges	Low	In Progress
Electoral Services	Medium	Final Issued
<b>Human Resources</b>		
Employment of Agency Staff	Med/High	In Progress
Health & Safety	<i>New</i>	In Progress
Business Continuity	<i>New</i>	Final Issued
<b>Digital &amp; Transformation</b>		
ICT Administration	Med/High	Draft Issued
Oracle Authorisation Limits	Med/High	Final Issued
IT Assets	Medium	Final Issued
Network Controls – Corporate Network	Medium	In Progress
Firewall Controls - Corporate	Medium	Final Issued
Virtual Server Environment	Medium	In Progress
Internet Controls – Corporate Network	Low/Med	Final Issued

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Payment Card Industry – Data Security	Medium	Draft Issued
E-Commerce Controls	Medium	In Progress
Business Continuity - IT	New	Planned
Data Protection – Software Licences	Medium	Final Issued
Application Controls – Flare System	Medium	Final Issued
Application Controls – Fostercare System	Medium	Final Issued
Change Control	Medium	Deferred
Digital Strategy	High	In Progress
Telephones (Civic & Guildhall)	Low/Med	Final Issued
IDEA – Extraction of Data	N/A	Planned
IDEA - Data Matching Exercise – NFI	N/A	Final Issued
<b>Commercial Services</b>		
Supplier Contracts Review	New	In Progress
<b>Fundamental Systems</b>		
Payroll	High	In Progress
Pensions Administration	High	In Progress
Accounts Receivable	High	In Progress
Treasury Man Borrowing & Investments	Medium	In Progress
Accounts Payable	Medium	In Progress
Cash	Medium/High	In Progress
Council Tax	Medium	In Progress
Main Accounting System	Medium	In Progress
<b>Contract Audits Systems</b>		
<b>Corporate Building &amp; Property Services</b>		
Construction Period Control of Contracts	Medium	In Progress
<b>Other Departments</b>		
Tendering, Letting and Monitoring	New	Planned
<b>Contract Audits</b>		
Final Accounts	N/A	Planned
Financial Appraisals of Contractors	N/A	Planned
<b>Cross Cutting Audits</b>		
Gift & Hospitality Registers	Low/Med	Final Issued
Workforce Planning	New	In Progress
General Data Protection Regulations	New	Final Issued
Corporate Governance Review	New	Final Issued
Ethics & Values	New	In Progress
<b>Miscellaneous Audits</b>		
No planned audits		
<b>Projects &amp; Special Investigations</b>		
Unpresented Cheques >£2,000	N/A	Planned
Development of Audit Programmes	N/A	Planned
Galileo Audit Management System	N/A	Planned
Annual Plan & Annual Report	N/A	Planned
Health & Safety Group	N/A	Planned

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Recommendations Tracker	N/A	Final Issued
Follow Ups	N/A	Planned
P Card Review of Purchases	N/A	Planned