

INTERNAL AUDIT ANNUAL PLAN 2018/19

Head of Service	Risk Rating	Progress as at 31/03/19
Education Planning & Resources		
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	Final 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	Final Issued
Cila Primary	Low	Final Issued
Townhill Community Primary	Medium	Final Issued
Hendrefoilan Primary	Medium	Final Issued
Penclawdd Primary	Medium	Final Issued
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	Final Issued
Bishop Gore Comprehensive	Low	Final Issued
Dylan Thomas Comprehensive	Medium	Final Issued
Arts in Education	Low/Med	Final Issued
Achievement & Partnership Service		
Welsh Service	New	Deferred
Vulnerable Learner Service		
Education Welfare Service	Medium	Final Issued
Catering Service – Civic Centre	Low/Med	Final Issued
Cleaning Service	Medium	Final Issued
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
Child & Family Services		
Grants & Contracts	Med/High	Final Issued

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Adult Services		
Community Alarm Service	Medium	Final Issued
Integrated Community Equipment & Suresprung	High	Final Issued
Service Users Assessment of Care	Medium	Deferred
Supporting People Grant	N/A	Final Issued
Suresprung - Work Choice Program	N/A	Final Issued
Self Assessment Checklists	Med/High	Final Issued
Social Services – Directorate Services		
No audits planned		
Poverty & Prevention		
Swansea Children's Centre & Mayhill Centre	Medium	Final Issued
Early Intervention Services	<i>New</i>	Final Issued
Corporate Building Services		
Admin & Finance	Low/Med	Final Issued
Corporate Property Services		
No audits planned		
Waste Management & Parks		
Domestic Refuse Collection	Medium	Final Issued
Grounds Maintenance	Medium	Final Issued
Highways & Transportation		
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>	Final Issued
Taxi Framework Contract – Adult Services	Medium	Final Issued
Live Kilometre Support Grant	N/A	Final Issued
Housing & Public Protection		
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
Cultural Services		
Outdoor Leisure	Medium	Final Issued
St Helens Ground	Low/Med	Final Issued
Plantasia	Medium	Final Issued

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

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

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Health & Safety Group	N/A	Final Issued
Recommendations Tracker	N/A	Final Issued
Follow Ups	N/A	Final Issued
P Card Review of Purchases	N/A	Final Issued