

INTERNAL AUDIT - ANNUAL REPORT 2018/19

Head of Service	Audit	Date	Assurance Level	Recommendations		
				Finalised	Made	Agreed
Financial Services & Service Centre	Schools Bank Reconciliations	07/01/19	High	2	2	0
Building Services	Heol y Gors Depot - Admin & Finance	08/01/19	High	3	2	1
Education Planning & Resources	Birchgrove Comprehensive School	18/01/19	High	2	2	0
Financial Services & Service Centre	Payment Card Industry Data Security Standard	24/01/19	High	5	5	0
Financial Services & Service Centre	Council Tax 2018/19	18/02/19	High	7	7	0
Financial Services & Service Centre	Employee Services 2018/19	19/02/19	High	3	3	0
Digital & Transformation	ICT Administration	21/02/19	High	3	2	1
Financial Services & Service Centre	Main Accounting System 2018/19	26/02/19	High	0	0	0
Legal, Dem. Services & Business Intelligence	Land Charges	07/03/19	High	9	9	0
Financial Services & Service Centre	Income Tax - Self Employed & Misc	07/03/19	High	5	5	0
Planning & City Regeneration	Landscaping	08/03/19	High	4	4	0
Financial Services & Service Centre	Cashiers Office	11/03/19	High	4	4	0
Financial Services & Service Centre	Adult Family Placements	13/03/19	High	1	1	0
Financial Services & Service Centre	Treasury Management 2018/19	19/03/19	High	1	1	0
Financial Services & Service Centre	Cash 2018/19	28/03/19	High	0	0	0
Education Planning & Resources	St Helen's Primary School	23/10/18	High	4	4	0
Waste Management & Parks	Domestic Refuse Collection	05/11/18	High	7	7	0
Education Planning & Resources	Cila Primary School	08/11/18	High	9	9	0
Financial Services & Service Centre	Bank Reconciliations	09/11/18	High	0	0	0
Financial Services & Service Centre	Leasing	09/11/18	High	3	3	0
Housing & Public Protection	Affordable Housing	16/11/18	High	0	0	0
Financial Services & Service Centre	Blue Badges	28/11/18	High	2	2	0
Education Planning & Resources	Talycopa Primary School	28/11/18	High	6	6	0
Adult Services	Private Residential Care Charges	07/12/18	High	9	9	0
Education Planning & Resources	Trallwyn Primary School	14/12/18	High	1	1	0
Housing & Public Protection	Housing Loans and Grants	21/12/18	High	5	5	0
Education Planning & Resources	Pontlliw Primary	03/07/18	High	1	1	0
Financial Services & Service Centre	Petty Cash Accounts	12/07/18	High	3	3	0
Education Planning & Resources	Arts in Education	24/07/18	High	2	2	0
Housing & Public Protection	Neighbourhood Support Unit	14/08/18	High	8	8	0
Digital & Transformation	Firewall Controls	15/08/18	High	1	1	0
Housing & Public Protection	Rechargeable Works	20/08/18	High	0	0	0

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Financial Services & Service Centre	Construction Industry Tax Scheme	21/08/18	High	0	0	0
Digital & Transformation	Oracle Authorisation Limits	11/09/18	High	1	1	0
Education Planning & Resources	Newton Primary	13/09/18	High	6	6	0
Digital & Transformation	Fostercare System (Application Controls)	25/09/18	High	2	2	0
Digital & Transformation	Data Protection (Software Licences)	27/09/18	High	5	5	0
Digital & Transformation	Internet Controls (Corporate Network)	28/09/18	High	4	4	0
Housing & Public Protection	Blaenymaes DHO*	26/04/18	High	10	10	0
Housing & Public Protection	Eastside DHO	11/05/18	High	9	9	0
Housing & Public Protection	Morrison DHO	27/06/18	High	9	9	0
Child & Family Services	Foster Swansea*	16/05/18	High	1	1	0
Financial Services & Service Centre	Funded Nursing Care*	04/04/18	High	1	1	0
Financial Services & Service Centre	Housing & Council Tax Benefit*	10/04/18	High	23	23	0
Financial Services & Service Centre	Employee Services*	29/05/18	High	4	4	0
Financial Services & Service Centre	Pensions Admin*	30/04/18	High	4	4	0
Financial Services & Service Centre	NNDR*	11/05/18	High	0	0	0
Financial Services & Service Centre	Capital Accounting*	17/04/18	High	1	1	0
Planning & City Regeneration	External Funding Team	20/06/18	High	0	0	0
Housing & Public Protection	Registration Service*	04/04/18	High	8	8	0
Education Planning & Resources	School Funding & Information*	12/07/18	High	1	1	0
Education Planning & Resources	Christchurch Primary School	02/01/19	Substantial	11	11	0
Legal, Dem. Services & Business						
Intelligence	Freedom of Information	29/01/19	Substantial	1	1	0
Education Planning & Resources	Penclawdd Primary School	05/02/19	Substantial	13	13	0
Digital & Transformation	E-Commerce Controls	06/02/19	Substantial	8	8	0
Planning & City Regeneration	Nature Conservation	20/02/19	Substantial	13	13	0
Education Planning & Resources	School Kitchens	21/02/19	Substantial	16	16	0
Communications & Marketing	Health, Safety & Wellbeing	05/03/19	Substantial	4	4	0
Adult Services	Adult Services Establishemnts - Questionnaire	20/03/19	Substantial	60	60	0
Highways & Transportation	Traffic Orders	29/03/19	Substantial	7	6	1
Education Planning & Resources	Terrace Road Primary School	31/03/19	Substantial	7	6	1
Education Planning & Resources	Burlais Primary School	02/10/18	Substantial	7	7	0
Financial Services & Service Centre	Flexicard Service and Security	04/10/18	Substantial	13	13	0
Financial Services & Service Centre	Risk Management	05/10/18	Substantial	3	3	0
Education Planning & Resources	Dunvant Primary School	10/10/18	Substantial	14	14	0
Education Planning & Resources	Knelston Primary School	15/10/18	Substantial	17	17	0

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Communications & Marketing	House	15/10/18	Substantial	14	14	0
Education Planning & Resources	Gors Community Primary School	18/10/18	Substantial	13	13	0
Highways & Transportation	Fleet Hire - Spot Hire	23/10/18	Substantial	7	7	0
Cultural Services	Outdoor Leisure	23/10/18	Substantial	7	7	0
Cultural Services	Plantastia	24/10/18	Substantial	10	10	0
Education Planning & Resources	Y.G.G. Bryniago	30/10/18	Substantial	18	18	0
Cross Cutting Audits	Corporate Governance Review	12/11/18	Substantial	6	6	0
Highways & Transportation	Clydach Plant	13/11/18	Substantial	6	5	1
Highways & Transportation	Concessionary Bus Fares	20/11/18	Substantial	2	2	0
Housing & Public Protection	Building Regulations	20/11/18	Substantial	6	6	0
Cross Cutting Audits	General Data Protection Regulations	23/11/18	Substantial	17	17	0
Education Planning & Resources	Gowerton Primary School	26/11/18	Substantial	16	16	0
Cross Cutting Audits	Department Gift & Hospitality Registers	26/11/18	Substantial	4	4	0
Cultural Services	Record Management	29/11/18	Substantial	18	18	0
Education Planning & Resources	Y.G.G. Bryn-y-Mor	10/12/18	Substantial	8	8	0
Waste Management & Parks	Grounds Maintenance	11/12/18	Substantial	7	6	1
Poverty & Prevention	Early Intervention Services	13/12/18	Substantial	9	9	0
Education Planning & Resources	Danygraig Primary	09/07/18	Substantial	2	2	0
Education Planning & Resources	YGG Y Login Fach	09/07/18	Substantial	6	6	0
Education Planning & Resources	Gowerton Comprehensive School	10/07/18	Substantial	21	21	0
Highways & Transportation	Swansea Highways Partnership*	10/07/18	Substantial	1	1	0
Housing & Public Protection	Trading Standards Division	13/07/18	Substantial	16	16	0
Education Planning & Resources	Brynhyfryd Primary	20/07/18	Substantial	9	9	0
Poverty & Prevention	Swansea Childrens Centre & Mayhill Centre	24/07/18	Substantial	15	15	0
Housing & Public Protection	Housing Options	25/07/18	Substantial	15	15	0
Education Planning & Resources	Dylan Thomas Comprehensive School	25/07/18	Substantial	21	21	0
Cultural Services	Central Library	27/07/18	Substantial	10	10	0
Education Planning & Resources	Townhill Primary	11/09/18	Substantial	14	14	0
Child & Family	Grants & Contracts (Child & Family)	17/09/18	Substantial	5	5	0
Vulnerable Learner Service	Catering Service	17/09/18	Substantial	9	9	0
Cultural Services	St Helen's Ground	19/09/18	Substantial	7	7	0
Education Planning & Resources	Hendrefoilan Primary	27/09/18	Substantial	11	11	0
Education Planning & Resources	Sketty Primary	27/09/18	Substantial	7	7	0
Adult Services	Community Alarm Service	19/06/18	Substantial	7	7	0
Adult Services	Community Equipment Store & Suresprung	29/06/18	Substantial	17	17	0

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Adult Services	Taxi Framework Contract - Adult Services	22/06/18	Substantial	6	6	0
Education Planning & Resources	Mayals Primary School	29/06/18	Substantial	17	17	0
Education Planning & Resources	YGG Llwynderw*	12/06/18	Substantial	16	16	0
Achievement Partnership Service	Education Welfare Service	19/06/18	Substantial	8	8	0
Highways & Transportation	Streetworks	11/06/18	Substantial	5	5	0
Planning & City Regeneration	Planning & Enforcement*	15/05/18	Substantial	3	3	0
Digital & Transforamtion	IT File Controls*	15/05/18	Substantial	1	1	0
Digital & Transforamtion	Flare System	01/05/18	Substantial	4	4	0
Cultural Services	Grand Theatre	27/06/18	Substantial	20	19	1
Poverty & Prevention	Partnership & Commissioning Team*	16/04/18	Substantial	14	14	0
Legal, Democratic Services & Business						
Intelligence	Electoral Services & Reg. of Electors	05/06/18	Substantial	6	6	0
Digital & Transforamtion	Telephones (inc Mobiles)	29/06/18	Substantial	2	2	0
HR & OD	Emergency Management*	02/05/18	Substantial	10	10	0
Highways & Transportation	Car Parks	21/06/18	Substantial	18	18	0
Financial Services & Service Centre	Senior Management Assurance Statements*	17/04/18	Substantial	2	2	0
Commercial Services	Supplier Contracts Review	28/03/19	Substantial	3	3	0
Financial Services & Service Centre	Accounts Receivable 2018/19	15/03/19	Moderate	21	21	0
Digital & Transforamtion	Disaster Recovery & Business Continuity*	26/06/18	Moderate	21	21	0
Education Planning & Resources	Bishop Gore Comprehensive School	11/10/18	Moderate	19	19	0
Education Planning & Resources	Portmead Primary School	04/11/18	Moderate	17	17	0
Vulnerable Learner Service	Cleaing Service - Education	04/12/18	Moderate	20	20	0
Total				987	980	7

* Audits from the 2017/18 Audit Plan finalised in 2018/19.