

INTERNAL AUDIT ANNUAL PLAN 2016/17

Head of Service	Risk Rating	Days 2016/17	Type of Work
Head of Education Planning & Resources			
Primary Schools	Medium	81	Assurance
Secondary Schools	Medium	50	Assurance
Special Schools	Medium	12	Assurance
School Funding & Information	Medium/High	15	Assurance
Capital Planning & Delivery Unit	Medium/High	10	Assurance
Total		168	
Head of Education Improvement			
Welsh Centre	Medium/Low	10	Assurance
Education Library Resource Service	Medium/Low	5	Assurance
Total		15	
Head of Education Learner Support Service			
Access to Learning - Management & Admin	Medium	10	Assurance
Psychology Service	Medium	5	Assurance
Recoupment	Medium	5	Assurance
SEN Statementing & Support	Medium	5	Assurance
Arfryn Education Centre	Medium	5	Assurance
Key Stage 4 Education Centre	Medium	5	Assurance
Stepahead Education Centre	Medium	5	Assurance
LAC Co-ordinator	New	10	Assurance
Employment Training	Medium/High	20	Assurance
School Kitchens	Medium	25	Assurance
Total		95	
Education - Other			
School Uniform Grant	N/A	3	Grant Certification
Education Improvement Grant	N/A	25	Grant Certification
Pupil Deprivation Grant	N/A	10	Grant Certification
Schools Annual Report	N/A	3	Assurance
Total		41	
Head of Child and Family Services			
Youth Offending Service	Medium/High	10	Assurance
Emergency Duty Team	Low	10	Assurance
Leaving Care Act	Medium	10	Assurance
Discretionary Payments (incl. S17)	Medium/High	10	Assurance
Community Childcare	Medium/Low	10	Assurance
Total		50	

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Head of Adult Services			
Supporting People Grant	N/A	10	Grant Certification
Cyrenians - Lessons Learned	New	10	Added Value
Adult Family Placements	New	10	Assurance
Total		30	
Directorate Services			
Live Kilometre Support Grant	N/A	5	Grant Certification
Business Support Team - Adult Services	New	20	Assurance
Total		25	
Head of Poverty & Prevention			
Partnerships, Performance & Commissioning	New	15	Assurance
Residential & Outdoor Centres	Medium	10	Assurance
Community Safety & CCTV	Medium	1	Assurance
Early Intervention Services	New	5	Assurance
Child Poverty Projects	New	5	Assurance
Total		36	
Head of Corporate Building & Property Services			
Heol y Gors - Stores	Medium	15	Assurance
Heol y Gors - Estimating	Medium	15	Assurance
Heol y Gors - Plant	Medium	7	Assurance
Day to Day Repairs - Maintenance Section	Medium/High	25	Assurance
Quadrant Rents & Estates Management	Medium	18	Assurance
Emergency Planning & Civil Contingencies	Medium	10	Assurance
Total		90	
Head of Waste Management			
Waste Management	Medium	10	Assurance
Trade Refuse	Medium	10	Assurance
Waste Enforcement	New	10	Assurance
Street Cleaning	Medium	10	Assurance
Total		40	

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Head of Highways & Transportation			
Concessionary Bus Fares	N/A	10	Assurance
Civil Parking Enforcement	Medium	20	Assurance
Taxi Framework Contract	Medium	10	Assurance
Advance Payments Code	Medium	8	Assurance
Clydach Depot - Stores	Medium	10	Assurance
Central Transport Unit - Fleet Maintenance	Medium/High	15	Assurance
Central Transport Unit - Stores	Medium	8	Assurance
Highways Trading Account	New	5	Assurance
Total		86	
Head of Housing & Public Protection			
Housing Options	Medium	2	Assurance
Town Centre District Housing Office	Medium	15	Assurance
Rent & Arrears Team	Medium	18	Assurance
Renewal Areas	Medium	20	Assurance
National Home Improvement Loan Scheme	New	10	Assurance
Taxi Licensing	New	10	Assurance
Housing Division	Medium/Low	10	Assurance
Total		85	
Head of Cultural Services			
Outdoor Leisure	Medium	20	Assurance
Foreshore & Lettings	Medium	3	Assurance
Sports Development	Medium	10	Assurance
Gymnastics Development	Medium	5	Assurance
Branch Libraries	Medium/Low	15	Assurance
Records Management	New	10	Assurance
Total		63	
Head of Economic Regeneration and Planning			
Planning Services - Administration & Fees	Medium	15	Assurance
Section 106 Agreements	High	10	Assurance
Planning & Enforcement	New	10	Assurance
Planning - AONB	New	10	Assurance
Total		45	

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Head of Communications & Customer Engagement			
Corporate Marketing	Low	5	Assurance
DesignPrint	Medium	2	Assurance
E-Commerce Controls	Medium	7	Assurance
Web Development	New	10	Assurance
Corporate Complaints	Medium/Low	8	Assurance
Contact Centre	Medium	5	Assurance
Total		37	
Head of Finance & Delivery			
Cashiers Office	Medium/High	5	Assurance
Write-off Requests by Departments	N/A	20	Assurance
Cashiers Write Offs	N/A	5	Assurance
Pension Fund Other	New	10	Assurance
Trusts and Charities	New	4	Assurance
Risk Management	High	10	Assurance
Budget Strategy & Setting Process	New	10	Assurance
Direct Payments - Adult and Child & Family	Medium	15	Assurance
Social Services Debt Recovery	High	20	Assurance
Learning Disability Recharges	New	10	Assurance
Total		109	
Head of Legal & Democratic Services			
Electoral Services	Medium	6	Assurance
Councillors Expenses & Allowances	Medium	10	Assurance
Election Expenses	N/A	15	Assurance
Councillors Code of Conduct	New	10	Assurance
Total		41	
Head of Human Resources			
Employee Vetting	High	10	Assurance
Employment of Agency Staff	New	4	Assurance
Total		14	
Head of Information & Business Change			
Project Management Methodology	New	10	Assurance
Strategic Projects - Administration	Medium	10	Assurance
Total		20	

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Head of Commercial Services			
P Cards	Medium	15	Assurance
Total		15	
Fundamental Systems			
Payroll	High	43	Assurance
Pensions Administration	High	20	Assurance
Teachers Pensions	Medium	15	Assurance
Accounts Receivable	High	37	Assurance
Business Rates	Medium	36	Assurance
Treasury Management - Borrowing & Investments	Medium	18	Assurance
Accounts Payable	Medium	44	Assurance
Housing & Council Tax Benefit	Medium	15	Assurance
Cash	Medium	30	Assurance
Council Tax	Medium	30	Assurance
Main Accounting	Medium	20	Assurance
Total		308	
Contract Audits - Systems			
Legal			
Liquidations	Medium/High	5	Assurance
Highways & Transportation			
Business Case, Tendering & Evaluation	Medium	20	Assurance
Control of Contracts	Medium	15	Assurance
Corporate Building Services			
Tendering	Medium	10	Assurance
Housing Systems Overview	Medium	10	Assurance
Finance/Legal			
Insurance Cover & Performance Bonds	New	10	Assurance
Social Services			
Tendering, Letting & Monitoring	New	15	Assurance
Housing			
Renewal Areas	Medium	10	Assurance
Total		95	

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Computer Audits			
Corporate Network Controls	Medium	10	Assurance
Education Network Controls	Medium	10	Assurance
Internet Controls for Clients - Social Services	Medium	5	Assurance
Payment Card Industry - Data Security Standard	Medium	5	Assurance
Computer Operations	Medium/High	5	Assurance
Disaster Recovery	Medium/High	10	Assurance
Flare System Application Controls	Medium	5	Assurance
Fostercare System Application Controls	Medium	5	Assurance
Change Control	Medium	5	Assurance
Change Control - ISiS	High	5	Assurance
Procurement of ICT	New	10	Assurance
Procurement of Telephones	Medium/High	5	Assurance
Extraction of Data - Miscellaneous	N/A	10	Assurance
Data Matching Exercise - NFI 2016	N/A	10	Anti-Fraud
Total		100	
Contract Audits			
Final Accounts	N/A	3	Assurance
Financial Appraisal of Contractors for Tenders	N/A	5	Assurance
Contract Audit - Total		8	
Cross Cutting Audits			
Corporate Governance Review	New	20	Assurance
Review of Corporate Risks	New	5	Assurance
Added Value Work	New	25	Added Value
Delegated Decision Making	New	10	Assurance
Ethics & Values	New	15	Assurance
Cross Cutting Audits - Total		75	
Projects and Special Investigations			
Unpresented Cheques > £2,000	N/A	10	Anti-Fraud
Galileo Audit Management System	N/A	15	Administration
Annual Plan & Annual Report	N/A	15	Administration
Health & Safety Group	N/A	3	Administration
Recommendations Tracker	N/A	10	Follow Ups
Follow Ups	N/A	60	Follow Ups
P Card Review of Purchases	N/A	25	Assurance
Total		138	
Productive Days - Total		1,829	