

Internal Audit Annual Plan 2016/17 - Progress to 30/09/16

Head of Service	Risk Rating	Progress
Head of Education Planning & Resources		
Birchgrove Primary School	Medium	In Progress
Bishopston Primary School	Medium	In Progress
Brynmill Primary School	Medium	In Progress
Casllwchwr Primary School	Medium	In Progress
Clase Primary School	Medium	In Progress
Clwyd Primary School	Medium	In Progress
Clydach Primary School	Medium	In Progress
Craigcefnparc Primary School	Medium	In Progress
Gendros Primary School	Medium	In Progress
Glais Primary School	Medium	In Progress
Glyncollen Primary School	Medium	In Progress
Hafod Primary School	Medium	In Progress
Llangyfelach Primary School	Medium	In Progress
Morrison Primary School	Medium	In Progress
Pengelli Primary School	Medium	In Progress
Pentrechwyth Primary School	Medium	In Progress
Plasmarl Primary School	Medium	In Progress
Pontybrenin Primary School	Medium	Final Issued
St Thomas Community Primary School	Medium	In Progress
Wanarlwydd Primary School	Medium	In Progress
YGG Felindre	Medium	In Progress
YGG Gellionen	Medium	In Progress
St David's RC Primary School	Medium	In Progress
St Illtyd's RC Primary School	Medium	In Progress
St Joseph's Cathedral Primary School	Medium	In Progress
St Joseph's Catholic Primary School	Medium	In Progress
Bishopston Comprehensive School	Medium	Planned
Morrison Comprehensive School	Medium	In Progress
Olchfa Comprehensive School	Medium	In Progress
Pentrehafod Comprehensive School	Medium	Planned
Ysgol Gyfun Gwyr	Medium	Final Issued
Ysgol Crug Glas	Medium	In Progress
Ysgol Penybryn	Medium	In Progress
School Funding & Information	Medium/High	Planned
Capital Planning & Delivery Unit	Medium/High	Planned
Head of Education Improvement		
Welsh Centre	Medium/Low	Final Issued
Education Library Resource Service	Medium/Low	In Progress

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Head of Service	Risk Rating	Progress
Head of Education Learner Support Service		
Access to Learning - Management & Admin	Medium	Final Issued
Psychology Service	Medium	Final Issued
Recoupment	Medium	Final Issued
SEN Statementing & Support	Medium	Final Issued
Arfryn Education Centre	Medium	Planned
Key Stage 4 Education Centre	Medium	Planned
Stepahead Education Centre	Medium	Planned
LAC Co-ordinator	New	Planned
School Kitchens	Medium	In Progress
Education - Other		
School Uniform Grant	N/A	Final Issued
Education Improvement Grant	N/A	In Progress
Pupil Deprivation Grant	N/A	In Progress
Schools Annual Report	N/A	In Progress
Head of Child and Family Services		
Youth Offending Service	Medium/High	In Progress
Emergency Duty Team	Low	Draft Issued
Community Childcare	Medium/Low	Draft Issued
Leaving Care Act	Medium	Planned
Discretionary Payments (incl. S17)	Medium/High	In Progress
Head of Adult Services		
Supporting People Grant	N/A	In Progress
Cyrenians - Lessons Learned	New	Planned
Deprivation of Liberty Safeguards	New	Planned
Emergency Placements	New	Planned
Live Kilometre Support Grant	N/A	Final Issued
Directorate Services		
Business Support Team - Child & Family	New	Planned
Head of Poverty & Prevention		
Partnerships, Performance & Commissioning	New	In Progress
Residential & Outdoor Centres	Medium	Final Issued
Community Safety & CCTV	Medium	Final Issued
Early Intervention Services	New	Planned
Child Poverty Projects	New	Planned
Head of Corporate Building & Property Services		
Heol y Gors - Stores	Medium	In Progress
Heol y Gors - Estimating	Medium	Planned
Heol y Gors - Plant	Medium	Planned
Day to Day Repairs - Maintenance Section	Medium/High	In Progress
Quadrant Rents	Medium	Final Issued
Estates Management	Medium	Final Issued
Emergency Planning & Civil Contingencies	Medium	Planned

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Head of Service	Risk Rating	Progress
Head of Waste Management		
Waste Management	Medium	Final Issued
Waste Enforcement	New	Planned
Trade Refuse	Medium	Final Issued
Street Cleaning	Medium	Final Issued
Head of Highways & Transportation		
Concessionary Bus Fares	N/A	In Progress
Civil Parking Enforcement	Medium	Draft Issued
Taxi Framework Contract	Medium	Planned
Advance Payments Code	Medium	Planned
Clydach Depot - Stores	Medium	In Progress
Central Transport Unit - Fleet Maintenance	Medium/High	In Progress
Central Transport Unit - Stores	Medium	In Progress
Highways Trading Account	New	Final Issued
Head of Housing & Public Protection		
Housing Options	Medium	Final Issued
Town Centre District Housing Office	Medium	Final Issued
Rent & Arrears Team	Medium	In Progress
Renewal Areas	Medium	Planned
National Home Improvement Loan Scheme	New	In Progress
Taxi Licensing	New	Final Issued
Housing Division (Pests & Strays)	Medium/Low	Draft Issued
Head of Cultural Services		
Foreshore & Lettings	Medium	Final Issued
Spot Checks	N/A	Planned
Sports Development	Medium	Final Issued
Gymnastics Development	Medium	Delete
Branch Libraries	Medium/Low	In Progress
Records Management	New	Planned
Head of Planning & City Regeneration		
Planning Services - Administration & Fees	Medium	In Progress
Section 106 Agreements	High	In Progress
Planning & Enforcement	New	Planned
Planning - AONB	New	Planned
Head of Communications & Consultation		
Corporate Marketing	Low	In Progress
DesignPrint	Medium	Final Issued
E-Commerce Controls	Medium	Planned
Web Development	New	Planned
Corporate Complaints	Medium/Low	In Progress
Contact Centre	Medium	In Progress

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Head of Legal & Democratic Services		
Electoral Services	Medium	Draft Issued
Councillors Expenses & Allowances	Medium	Final Issued
Election Expenses	N/A	Planned
Councillors Code of Conduct	New	In Progress
Head of Human Resources		
Employee Vetting	High	In Progress
Employment of Agency Staff	New	Draft Issued
Head of Information & Business Change		
Project Management Methodology	New	Planned
Strategic Projects - Administration	Medium	Planned
Head of Finance & Delivery		
Cashiers Office	Medium/High	In Progress
Write-off Requests by Departments	N/A	In Progress
Cashiers Write Offs	N/A	Planned
Pension Fund Other	New	Final Issued
Trusts & Charities	New	Final Issued
Risk Management	High	Planned
Budget Strategy & Setting Process	New	Planned
Direct Payments - Adult & Family Services	Medium	In Progress
Social Services Debt Recovery	High	Planned
Learning Disability Recharges	New	Planned
Adult Family Placements	New	Planned
Head of Commercial Services		
P Cards	Medium	Planned
Fundamental Systems		
Payroll	High	Planned
Pensions Administration	High	In Progress
Teachers Pensions	Medium	Planned
Accounts Receivable	High	Planned
Business Rates	Medium	Planned
Treasury Management - Borrowing & Investments	Medium	Planned
Accounts Payable	Medium	Planned
Housing & Council Tax Benefit	Medium	Final Issued
Cash	Medium	Planned
Council Tax	Medium	Planned
Main Accounting	Medium	Planned

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Contract Audits - Systems		
Legal		
Liquidations	Medium/High	Planned
Housing & Public Protection		
Contracts - Renewal Areas	Medium	Planned
Highways & Transportation		
Business Case, Tendering & Evaluation	Medium	Planned
Control of Contracts	Medium	Planned
Corporate Building Services		
Tendering	Medium	Planned
Housing Systems Overview	Medium	Planned
Adult Services		
Tendering, Letting & Monitoring of Contracts	New	Planned
Finance/Legal		
Insurance Cover & Performance Bonds	New	Planned
Computer Audits		
Corporate Network Controls	Medium	Planned
Education Network Controls	Medium	Planned
Social Services Clients - Internet Controls	Medium	Planned
Payment Card Industry - Data Security Standard	Medium	Planned
Computer Operations	Medium/High	Planned
Disaster Recovery	Medium/High	In Progress
Flare System - Application Controls	Medium	Planned
Fostercare System - Application Controls	Medium	Planned
Change Control	Medium	Planned
Change Control - ISiS	High	Planned
Procurement of ICT	New	Planned
Procurement of Telephones	Medium/High	Final Issued
Cross Cutting Audits		
Corporate Governance Review	New	Planned
Review of Corporate Risks	New	In Progress
Added Value Work	New	Planned
Delegated Decision Making	New	Planned
Ethics & Values	New	Planned
Projects and Special Investigations		
P Card Review of Purchases	N/A	In Progress
Data Matching Exercise - NFI 2016	N/A	In Progress