

INTERNAL AUDIT PLAN 2015/16 - PROGRESS TO 31/03/16

Head of Service	Risk Rating	Progress
Head of Education Planning & Resources		
Bishopston Primary School	Medium	Deferred
Cila Primary School	Medium	Final Issued
Clydach Primary School	Medium	Deferred
Crwys Primary School	Medium	Draft Issued
Cwmglas Primary School	Medium	Draft Issued
Gors Community Primary School	Medium	Final Issued
Gorseinon Primary School	Medium	Deferred
Gwrosydd Primary School	Medium	Draft Issued
Grange Primary School	Medium	Draft Issued
Hendrefoilan Primary School	Medium	Final Issued
Knelston Primary School	Medium	Final Issued
Newton Primary School	Medium	Final Issued
Pen-y-Fro Primary School	Medium	In Progress
Penyrheol Primary School	Medium	In Progress
Pennard Primary School	Medium	Final Issued
Pontarddulais Primary School	Medium	Draft Issued
Portmead Primary School	Medium	Final Issued
St Helens Primary School	Medium	Final issued
St Josephs Catholic Primary School	Medium	Deferred
Townhill Community Primary School	Medium	Final Issued
Trallwn Primary School	Medium	Final Issued
Waun Wen Primary School	Medium	Final Issued
YGG Y Login Fach	Medium	Final Issued
Primary School Self Assessment	Medium	In Progress
Birchgrove Comprehensive School	Medium	Final Issued
Bishop Gore Comprehensive School	Medium	Final Issued
Bishop Vaughan Catholic Comprehensive School	Medium	In Progress
Dylan Thomas Community School	Medium	Final Issued
Ysgol Penybryn	Medium	Deferred
School Funding & Information	Medium/High	Deferred
Head of Education Improvement		
Support for the Arts	Medium	Final Issued
Head of Education Learner Support		
Access to Learning - Management & Admin	Medium	Deferred
Psychology Service	Medium	Deferred
Recoupment	Medium	Deferred
SEN Statementing & Support	Medium	Deferred
Behaviour and Learning Support	Medium/Low	Final Issued
Education Welfare Service	Medium	Final Issued
School Kitchens	Medium	Deferred
Civic Centre Catering	Medium	Final Issued

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Head of Service	Risk Rating	Progress
Education - Other		
Community Focused Childcare Grant	N/A	Not Required
School Uniform Grant	N/A	Final Issued
Foundation Phase Grant	N/A	Not Required
Schools Annual Report	N/A	Final Issued
Head of Child and Family Services		
Youth Offending Service	Medium/High	Deferred
Use of Taxis - Authorisation	Medium	Final Issued
Safeguarding	New	In Progress
Head of Adult Services		
Service User Assessment of Care	Medium	Final Issued
Taxi Framework Contract	Medium/High	Final Issued
Supporting People Grant	N/A	Final Issued
Victoria Park Kiosk	Medium/Low	Final Issued
Adult Family Placements	New	Deferred
Establishments - Self Assessment Checklist	Medium/High	Draft Issued
Directorate Services		
No audits planned		
Head of Poverty & Prevention		
Partnerships, Performance & Commissioning	New	In Progress
Young Peoples Service	Medium	Final Issued
Community Food Growing Team	Medium	Not Required
Info-Nation	New	Draft Issued
Swansea Children's Centre/Mayhill Family Centre	Medium	Final Issued
Community Safety and CCTV	Medium	In Progress
Welsh Government Youth Strategy Grant	N/A	Not Required
Head of Corporate Building & Property Services		
Heol y Gors - Estimating	Medium	Deferred
Heol y Gors - Plant	Medium	Deferred
Day to Day Repairs - Maintenance Section	Medium/High	Deferred
Facilities Management	Medium/Low	Final Issued
Mail Room	New	Not Required
Head of Waste Management		
Domestic Refuse collection	Medium	Draft Issued
Waste Enforcement	New	Deferred
Parks Central Operations	Low	Final Issued

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Head of Service	Risk Rating	Progress
Head of Highways & Transportation		
Concessionary Bus Fares	N/A	In Progress
Car Parks	Medium/High	Final Issued
Taxi Framework Contract	Medium	Final Issued
Clydach Depot - Stores	Medium	Deferred
Clydach Depot - Plant	Medium	Deferred
Streetworks	Medium	Final Issued
Central Transport Unit - Fleet Maintenance	Medium/High	Deferred
Central Transport Unit - Fleet/Spot Hire	Medium	Final Issued
Central Transport Unit - Fuel	Medium	Final Issued
Highways Trading Account	New	In Progress
Head of Housing & Public Protection		
Eastside District Housing Office	Medium	Final Issued
Gorseinon District Housing Office	Medium	Final Issued
West Cross District Housing Office	Medium	Final Issued
Leasehold Properties	Medium	Final Issued
Asylum Seekers	Medium/High	Not Required
Housing Improvement Team	Medium	Final Issued
National Home Improvement Loan Scheme	New	Deferred
Sheltered Housing Service	New	Final Issued
Burials and Cremations	Medium	Final Issued
Trading Standards Division	Medium	Final Issued
Trading Standards NTSB Grant	N/A	Not Required
Rechargeable Works	Medium	Draft Issued
Rent and Arrears Team	Medium	In Progress
Head of Cultural Services		
Bishopston Sports Centre	Medium/Low	Final Issued
Pentrehafod Sports Centre	Medium/Low	Final Issued
Spot Checks	N/A	Final Issued
Grand Theatre	Medium/High	Final Issued
Branch Libraries	Medium/Low	Deferred
Swansea Museum	Medium	In Progress
Plantasia	Medium	Draft Issued
Head of Economic Regeneration and Planning		
European Unit	Medium	Not Required
Rights of Way	New	Draft Issued
Rural Development Plan	High	Final Issued
Planning and Enforcement	New	Deferred
Planning - AONB	New	Deferred

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Head of Service	Risk Rating	Progress
Head of Communications & Consultation		
Executive Board Support	Medium	Final Issued
Web Development	New	Deferred
DesignPrint	Medium	Draft Issued
Head of Legal & Democratic Services		
Coroners Service	Medium/High	In Progress
Election Expenses	N/A	Final Issued
Electoral Services	Medium	In Progress
Head of Human Resources		
Flexicard Machines & Security	Medium/High	Final Issued
HR Policies	New	In Progress
Employment of Agency Staff	New	In Progress
Head of Information & Business Change		
Project Management Methodology	New	Deferred
Information Management	New	In Progress
ICT Contract Transfer	New	In Progress
Head of Finance & Delivery		
Cashiers Office	Medium/High	Final Issued
Write-off Requests by Departments	N/A	In Progress
Cashiers Write Offs	N/A	Not Required
Bank Reconciliation	High	Final Issued
Petty Cash Accounts	Medium	Final Issued
Insurance	Medium	In Progress
Grants Receivable	Medium/High	Draft Issued
Leasing	Medium	Final Issued
Taxation - VAT	Medium	Final Issued
Income Tax - Self Employed	Medium	Final Issued
Pension Fund Other	New	Deferred
Trusts and Charities	New	In Progress
Budget Strategy & Setting Process	New	Deferred
NPT DEAR Grant	N/A	Final Issued
Private Residential Care Charges	Medium/High	Deferred
Social Services Debt Recovery	High	Deferred
Short Term Care	Medium	Deferred
School Bank Reconciliation	Medium	Final Issued
Head of Commercial Services		
P Cards	Medium	In Progress

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Head of Service	Risk Rating	Progress
Fundamental Systems		
Payroll	High	In Progress
Pensions Administration	High	Final Issued
Teachers Pensions	Medium	Final Issued
Accounts Receivable	High	In Progress
Business Rates	Medium	In Progress
Pension Fund Investments	High	Final Issued
Housing Rents	Medium	Final Issued
Accounts Payable	Medium	In Progress
Housing and Council Tax Benefit	Medium	In Progress
Capital Accounting	Medium	Final Issued
Main Accounting	Medium	Final Issued
Contract Audits - Systems		
Legal		
Acceptance of Tenders	Medium	Final Issued
Liquidations	Medium/High	Deferred
Procurement		
Contract Register	Medium	Final Issued
Highways & Transportation		
Business Case, Tendering & Evaluation	Medium	Deferred
Control of Contracts	Medium	Deferred
Corporate Building Services		
Tendering	Medium	Deferred
Finance/Legal		
Insurance Cover & Performance Bonds	New	Deferred
Computer Audits		
ICT Data Storage	Medium	Deferred
ICT Assets	Medium	Deferred
Firewall Controls - Corporate	Medium	Deferred
Firewall Controls - Education	Medium	Deferred
Virtual Server Environment	New	Deferred
Payment Card Industry - Data Security Standard	Medium	Deferred
Disaster Recovery & Business Continuity	Medium/High	In Progress
GCSX and Encryption	New	Deferred
Change Control ISiS	High	Deferred
Projects and Special Investigations		
P Card Review of Purchases	N/A	In Progress
Departmental Gifts & Hospitality Registers	New	Draft Issued
Review of Corporate Risks	New	In Progress
Added Value Work	New	Deferred