

INTERNAL AUDIT ANNUAL PLAN 2016/17 - PROGRESS

Head of Service	Risk Rating	Progress as at 31.03.17
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	Final Issued
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	Final Issued
Hafod Primary School	Medium	Final Issued
Llangyfelach Primary School	Medium	In Progress
Morrison Primary School	Medium	Final Issued
Pengelli Primary School	Medium	In Progress
Pentrechwyth Primary School	Medium	Final Issued
Plasmarl Primary School	Medium	In Progress
Pontybrenin Primary School	Medium	Final Issued
St Thomas Community Primary School	Medium	Draft Issued
Wauarllwydd Primary School	Medium	In Progress
YGG Felindre	Medium	Final Issued
YGG Gellionen	Medium	In Progress
St David's RC Primary School	Medium	Final Issued
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	Final Issued
Bishopston Comprehensive School	Medium	Deferred
Morrison Comprehensive School	Medium	Final Issued
Olchfa Comprehensive School	Medium	Final Issued
Pentrehafod Comprehensive School	Medium	In progress
Ysgol Gyfun Gwyr	Medium	Final Issued
Ysgol Crug Glas	Medium	In Progress
Ysgol Penybryn	Medium	Final Issued
School Funding & Information	Medium/High	Deferred
Capital Planning & Delivery Unit	Medium/High	Deferred
Head of Education Improvement		
Welsh Centre	Medium/Low	Final Issued
Education Library Resource Service	Medium/Low	Final Issued

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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	Draft Issued
Key Stage 4 Education Centre	Medium	Draft Issued
Stepahead Education Centre	Medium	Draft Issued
LAC Co-ordinator	New	Deferred
School Kitchens	Medium	In Progress
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
Head of Child and Family Services		
Youth Offending Service	Medium/High	Final Issued
Emergency Duty Team	Low	Final Issued
Community Childcare	Medium/Low	Final Issued
Leaving Care Act	Medium	Final Issued
Discretionary Payments (incl. S17)	Medium/High	Final Issued
Head of Adult Services		
Supporting People Grant	N/A	Final Issued
Cyrenians - Lessons Learned	New	Deferred
Deprivation of Liberty Safeguards	New	Deferred
Emergency Placements	New	Deferred
Live Kilometre Support Grant	N/A	Final Issued
Directorate Services		
Business Support Team - Child & Family	New	In Progress
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	Deferred
Child Poverty Projects	New	Deferred

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Head of Corporate Building & Property Services		
Heol y Gors - Stores	Medium	Final Issued
Heol y Gors - Estimating	Medium	Deferred
Heol y Gors - Plant	Medium	Final Issued
Day to Day Repairs - Maintenance Section	Medium/High	Final Issued
Quadrant Rents	Medium	Final Issued
Estates Management	Medium	Final Issued
Emergency Planning & Civil Contingencies	Medium	Deferred
Head of Waste Management		
Waste Management	Medium	Final Issued
Waste Enforcement	New	Deferred
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	Final Issued
Taxi Framework Contract	Medium	In Progress
Advance Payments Code	Medium	In Progress
Clydach Depot - Stores	Medium	Final Issued
Central Transport Unit - Fleet Maintenance	Medium/High	In Progress
Central Transport Unit - Stores	Medium	Final Issued
Highways Trading Account	New	Final Issued
Head of Housing & Public Protection		
Housing Options	Medium	Final Issued
Town Centre District Housing Office	Medium	Final Issued
Penlan DHO	Medium	Final Issued
Rent & Arrears Team	Medium	Final Issued
Renewal Areas	Medium	Deferred
National Home Improvement Loan Scheme	New	Final Issued
Taxi Licensing	New	Final Issued
Housing Division (Pests & Strays)	Medium/Low	Final Issued
Head of Cultural Services		
Foreshore & Lettings	Medium	Final Issued
Spot Checks	N/A	Final Issued
Sports Development	Medium	Final Issued
Gymnastics Development	Medium	Delete
Branch Libraries	Medium/Low	In Progress
Records Management	New	Deferred
Head of Planning & City Regeneration		
Planning Services - Administration & Fees	Medium	Final Issued
Section 106 Agreements	High	Final Issued
Planning & Enforcement	New	Deferred
Planning - AONB	New	Deferred
Head of Communications & Consultation		
Corporate Marketing	Low	Final Issued
DesignPrint	Medium	Final Issued

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E-Commerce Controls	Medium	Deferred
Web Development	New	Deferred
Corporate Complaints	Medium/Low	In Progress
Contact Centre	Medium	Final Issued
Interim Head of Legal & Democratic Services		
Electoral Services	Medium	Final Issued
Councillors Expenses & Allowances	Medium	Final Issued
Election Expenses	N/A	In Progress
Councillors Code of Conduct	New	Final Issued
Head of Human Resources		
Employee Vetting	High	Final Issued
Employment of Agency Staff	New	Final Issued
Head of Information & Business Change		
Project Management Methodology	New	Deferred
Strategic Projects - Administration	Medium	Deferred
Head of Finance & Delivery		
Cashiers Office	Medium/High	Final Issued
Write-off Requests by Departments	N/A	In Progress
Cashiers Write Offs	N/A	Deferred
Pension Fund Other	New	Final Issued
Trusts & Charities	New	Final Issued
Risk Management	High	Deferred
Budget Strategy & Setting Process	New	Deferred
Direct Payments - Adult & Family Services	Medium	In Progress
Social Services Debt Recovery	High	In Progress
Learning Disability Recharges	New	Deferred
Adult Family Placements	New	Deferred
Head of Commercial Services		
P Cards	Medium	Final Issued

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Fundamental Systems		
Payroll	High	Final Issued
Pensions Administration	High	Final Issued
Teachers Pensions	Medium	Final Issued
Accounts Receivable	High	In Progress
Business Rates	Medium	Deferred
Treasury Management - Borrowing & Investments	Medium	Draft Issued
Accounts Payable	Medium	In Progress
Housing & Council Tax Benefit	Medium	Final Issued
Cash	Medium	Final Issued
Council Tax	Medium	In Progress
Main Accounting	Medium	Final Issued
Contract Audits - Systems		
Legal		
Liquidations	Medium/High	Deferred
Housing & Public Protection		
Contracts - Renewal Areas	Medium	Deferred
Highways & Transportation		
Business Case, Tendering & Evaluation	Medium	Draft Issued
Control of Contracts	Medium	Deferred
Corporate Building Services		
Tendering	Medium	Deferred
Housing Systems Overview	Medium	Deferred
Adult Services		
Tendering, Letting & Monitoring of Contracts	New	Deferred
Finance/Legal		
Insurance Cover & Performance Bonds	New	Deferred
Computer Audits		
Corporate Network Controls	Medium	Deferred
Education Network Controls	Medium	Deferred
Social Services Clients - Internet Controls	Medium	Deferred
Payment Card Industry - Data Security Standard	Medium	Deferred
Computer Operations	Medium/High	Deferred
Disaster Recovery	Medium/High	In Progress
Flare System - Application Controls	Medium	Deferred
Fostercare System - Application Controls	Medium	Deferred
Change Control	Medium	Deferred
Change Control - ISiS	High	Deferred
Procurement of ICT	New	Draft Issued
Procurement of Telephones	Medium/High	Final Issued

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Cross Cutting Audits		
Corporate Governance Review	New	Deferred
Review of Corporate Risks	New	In Progress
Added Value Work	New	Deferred
Delegated Decision Making	New	Deferred
Ethics & Values	New	Deferred
Projects and Special Investigations		
P Card Review of Purchases	N/A	In Progress
Data Matching Exercise - NFI 2016	N/A	In Progress