

| Audit Title | Risk Rating | Status as at 01/04/2020 | Corporate Priority | Days |
|---|--------------------|--------------------------------|---------------------------|-------------|
| Level 1 – Cross Cutting Reviews – Council Governance & Control | | | | |
| Partnerships | Med/High | Planned | Cross Cutting | 15 |
| Corporate Governance | Med/High | Planned | Cross Cutting | 15 |
| Whistleblowing | Med | Planned | Cross Cutting | 10 |
| Workforce Planning | New | Planned | Cross Cutting | 10 |
| Local Government and Elections (Wales) Bill | New | Planned | Cross Cutting | 10 |
| FOI / SAR/ EIR Review | New | Planned | Cross Cutting | 15 |
| Procurement Thematic Review | New | Planned | Cross Cutting | 15 |
| Added Value Work | n/a | Planned | Cross Cutting | 10 |
| Level 2 – Fundamental Systems - Section 151 Officer Assurance | | | | |
| Financial Services & Service Centre | | | | |
| Treasury Management | Med | Planned | Section 151 Assurance | 18 |
| Accounts Payable | Med | Planned | Section 151 Assurance | 35 |
| Cash | Med/High | Planned | Section 151 Assurance | 30 |
| Accounts Receivable | High | Planned | Section 151 Assurance | 35 |
| Council tax | Med/High | Planned | Section 151 Assurance | 30 |
| Main Accounting System | Med | Planned | Section 151 Assurance | 20 |
| NNDR | Med | Planned | Section 151 Assurance | 20 |
| Level 3 – Service Level Audits – Other Assurance | | | | |
| Education Planning & Resources | | | | |
| Capital Planning & Delivery Unit | Med | Planned | Education | 10 |
| Casllwchwr Primary | Med | Planned | Education | 3 |
| YGG Gellionnen | Med | Planned | Education | 3 |
| Birchgrove Primary | Med | Planned | Education | 3 |
| Gendros Primary | Med | Planned | Education | 3 |
| Llangyfelach Primary | Med | Planned | Education | 3 |
| Brynmill Primary | Med | Planned | Education | 3 |
| Clase Primary | Med/High | Planned | Education | 3 |
| Plasmarl Primary | Med | Planned | Education | 3 |
| Parkland Primary | Med | Planned | Education | 3 |
| Craigyfelen Primary | Med | Planned | Education | 3 |
| Gorseinon Primary | Med/High | Planned | Education | 3 |
| Penllergaer Primary | Med | Planned | Education | 3 |
| YGG Tan-y-Lan | Med | Planned | Education | 3 |
| Glais Primary | Med | Planned | Education | 3 |
| Craigcefnparc Primary | Med | Planned | Education | 3 |
| Ynystawe Primary | Med | Planned | Education | 3 |

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| St.Illtyd's RC Primary | Med | Planned | Education | 3 |
| Pentre'r Graig Primary | Med | Planned | Education | 3 |
| Llanrhyddian Primary | Med | Planned | Education | 3 |
| Oystermouth Primary | Med | Planned | Education | 3 |
| Tre Uchaf Primary | Med/High | Planned | Education | 3 |
| Whitestone Primary | Med | Planned | Education | 3 |
| Clydach Primary | Med | Planned | Education | 3 |
| Blaenymaes Primary | Med | Planned | Education | 3 |
| Ysgol Cymraeg y Cwm | Med | Planned | Education | 3 |
| Pontybrein Primary | Med | Planned | Education | 3 |
| YGG Tirdeunaw | Med | Planned | Education | 3 |
| Cwmrhydyceirw Primary | Med | Planned | Education | 3 |
| Ysgol Crug Glas | Med | Planned | Education | 4 |
| Pentrefhafod Comprehensive | Med | Planned | Education | 10 |
| Bishopston Comprehensive | Med | Planned | Education | 10 |
| Pontarddulais Comprehensive | Med | Planned | Education | 10 |
| Ysgol Gyfun Bryn Tawe | Med | Planned | Education | 10 |
| Achievement & Partnership Service | | | | |
| Challenge Advisors | Med | Planned | Education | 10 |
| Swansea Music Unit | Med/High | Planned | Education | 10 |
| Vulnerable Learner Service | | | | |
| Additional Learning Needs Unit | Med | Planned | Education, Safeguarding & Poverty | 25 |
| Elective Education Provision | New | Planned | Education, Safeguarding & Poverty | 10 |
| Behavioural Support Unit | Med/Low | Planned | Education, Safeguarding & Poverty | 20 |
| Education Grants & Other | | | | |
| Additional Support for Disadvantaged Learners (G) | n/a | Planned | Education, Safeguarding & Poverty | 5 |
| Regional Consortia School Improvement (G) | n/a | Planned | Education, Safeguarding & Poverty | 15 |
| Pupil Deprivation (G) | n/a | Planned | Education, Safeguarding & Poverty | 10 |
| Schools Annual Report | n/a | Planned | Education, Safeguarding & Poverty | 3 |
| Child & Family Services | | | | |
| Independent Agency Payments | High | Planned | Safeguarding | 10 |
| Youth Offending Service | Med/High | Planned | Safeguarding | 10 |
| Leaving Care Act | Med | Planned | Safeguarding | 10 |
| Nant-y-Felin Children's Home | Med | Planned | Safeguarding | 10 |
| Adoption Allowances | Med | Planned | Safeguarding | 10 |

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| Residential & Outdoor Centres | Med | Planned | Safeguarding | 10 |
| Adult Services | | | | |
| Home Care | Med/High | Planned | Safeguarding | 10 |
| Integrated Community Equipment Service & Suresprung | High | Planned | Safeguarding | 10 |
| Suresprung Supported Employees Claim Process (G) | n/a | Planned | Safeguarding | 5 |
| Victoria Park Kiosk | Med/Low | Planned | Safeguarding | 5 |
| CREST | Med | Planned | Safeguarding | 10 |
| Day & Residential Establishments – Questionnaires | High | Planned | Safeguarding | 25 |
| Commissioning | | | | |
| Partnerships, Performance & Commissioning | Med/High | Planned | Poverty | 15 |
| Supporting People Team | Med | Planned | Poverty | 5 |
| Supporting People Team–Regional Coordinator Grant (G) | n/a | Planned | Poverty | 3 |
| Supporting People Team-Outcomes Grant (G) | n/a | Planned | Poverty | 5 |
| Supporting People Grant (G) | n/a | Planned | Poverty | 10 |
| Tackling Poverty | | | | |
| Children & Communities Grant (G) | New | Planned | Poverty | 10 |
| Building Services | | | | |
| Heol y Gors – Stores, Admin & Finance, Oracle T&L | Med/High | Planned | Economy & Infrastructure, Safeguarding | 20 |
| Heol y Gors – Estimating | Med | Planned | Economy & Infrastructure, Safeguarding | 15 |
| Day to Day Repairs / Maintenance Section | Med | Planned | Economy & Infrastructure, Safeguarding | 20 |
| Property Services | | | | |
| Facilities Management | Med/Low | Planned | Economy & Infrastructure | 5 |
| Waste Management & Parks | | | | |
| Waste Enforcement | Med | Planned | Economy & Infrastructure, Resource & Biodiversity | 10 |
| Central Operations – Playgrounds | Med | Planned | Economy & Infrastructure, Resource & Biodiversity | 10 |
| Parks Central Operations – Tree Services Unit | Low | Planned | Economy & Infrastructure, Resource & Biodiversity | 5 |
| Knotweed Service | New | Planned | Economy & Infrastructure, Resource & Biodiversity | 5 |
| Highways & Transportation | | | | |
| Home to School Transport | Med | Planned | Economy & Infrastructure | 15 |
| Concessionary Bus Fares | Med | Planned | Economy & Infrastructure | 5 |
| Swansea Marina | Med | Planned | Economy & Infrastructure | 15 |
| Highways Trading Account | Med | Planned | Economy & Infrastructure | 7 |
| Live Kilometre Support Grant (G) | n/a | Planned | Economy & Infrastructure | 5 |
| Housing & Public Health | | | | |

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| Blaenymaes District Housing Office | Med | Planned | Poverty, Safeguarding | 15 |
| Townhill District Housing Office | Med | Planned | Poverty, Safeguarding | 15 |
| Voids Team / HPU | Med | Planned | Poverty, Safeguarding | 15 |
| Rent & Arrears Team | Med | Planned | Poverty, Safeguarding | 18 |
| Sheltered Housing Service | Med/Low | Planned | Poverty, Safeguarding | 10 |
| Public Protection – Administration Division | Low | Planned | Poverty, Safeguarding | 15 |
| Public Protection - Taxi Licencing Division | Med/Low | Planned | Poverty, Safeguarding | 10 |
| Public Protection – Pest & Animal Control | Med/Low | Planned | Poverty, Safeguarding | 5 |
| Public Protection – Housing Division | New | Planned | Poverty, Safeguarding | 5 |
| Estate Caretakers | New | Planned | Poverty, Safeguarding | 10 |
| Cultural Services | | | | |
| Spot Checks & Land Train | Med | Planned | Economy & Infrastructure | 5 |
| Grand Theatre | Med/High | Planned | Economy & Infrastructure | 25 |
| Glyn Vivian Art Gallery | Med | Planned | Economy & Infrastructure | 15 |
| Swansea Museum | Med/Low | Planned | Economy & Infrastructure | 10 |
| Branch Libraries | Med | Planned | Economy & Infrastructure | 15 |
| Brangwyn Hall | Med | Planned | Economy & Infrastructure | 15 |
| Planning & City Regeneration | | | | |
| Development Projects & Joint Ventures | Med | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Swansea Mobility Hire | Med | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Rights of Way | Med/Low | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Planning & Enforcement | Med/High | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Planning – AONB | Med | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Strategic Planning Team | New | Planned | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Communications & Marketing | | | | |
| Corporate Management Team Support | Med | Planned | Transformation & Council Development | 5 |
| Risk Management | Med/High | Planned | Transformation & Council Development | 10 |
| Risk Management System | New | Planned | Transformation & Council Development | 5 |
| Financial Services & Service Centre | | | | |
| Cashiers Office | Med/High | Planned | Section 151 Assurance | 10 |
| Write-Off Requests | n/a | Planned | Section 151 Assurance | 5 |
| Cashiers Write-off's | n/a | Planned | Section 151 Assurance | 5 |
| Car Loans | Med | Planned | Section 151 Assurance | 5 |
| Trusts & Charities | Med/High | Planned | Section 151 Assurance | 5 |

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| Direct Payments – Adult & Child and Family | Med | Planned | Section 151 Assurance, Safeguarding | 15 |
| Learning Disability Recharges | Med | Planned | Section 151 Assurance, Safeguarding | 10 |
| Officers Expenses | New | Planned | Section 151 Assurance | 10 |
| Purchase Card Transactions Monthly Review | Med | Planned | Section 151 Assurance | 10 |
| PCI Data Security Standard | High | Planned | Section 151 Assurance | 5 |
| Passport to Leisure | Low | Planned | Section 151 Assurance | 10 |
| Legal, Democratic Services & Business Intelligence | | | | |
| Councillors Expenses & Allowances | Med/Low | Planned | Monitoring Officer Assurance | 10 |
| Councillors Code of Conduct | Med | Planned | Monitoring Officer Assurance | 10 |
| Scrutiny | Med | Planned | Monitoring Officer Assurance | 15 |
| Commercial Services | | | | |
| Supplier Contracts Review | High | Planned | Section 151 Assurance | 10 |
| Contracts Review – Education | New | Planned | Section 151 Assurance | 10 |
| Retrospective Orders on Oracle Review | New | Planned | Section 151 Assurance | 10 |
| Chief Transformation Officer Audits | | | | |
| Contact Centre | Med | Planned | Transformation & Council Development | 5 |
| HR Policies | Low | Planned | Transformation & Council Development | 10 |
| Corporate Learning & Development Team | New | Planned | Transformation & Council Development | 5 |
| Oracle Cloud | New | Planned | Transformation & Council Development | 10 |
| Management of Absence | New | Planned | Transformation & Council Development | 10 |
| Contract Audits | | | | |
| Highways & Transportation – Business Case, Tendering & Evaluation | Med/High | Planned | Transformation & Council Development | 20 |
| CBS Tendering | Med/High | Planned | Transformation & Council Development | 10 |
| Housing – Systems Overview | Med | Planned | Transformation & Council Development | 10 |
| Commissioning – Tendering, Letting & Monitoring | High | Planned | Transformation & Council Development | 15 |
| Computer Audits | | | | |
| File Controls | Med/High | Planned | Transformation & Council Development | 5 |
| ICT Data Storage | Med/High | Planned | Transformation & Council Development | 5 |
| Internet Controls for Clients – Social Services | Med | Planned | Transformation & Council Development | 5 |
| Procurement of IT | Med/High | Planned | Transformation & Council Development | 10 |

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| Procurement of Telephones | Mes | Planned | Transformation & Council Development | 5 |
| Use of Idea - Data Matching NFI | n/a | Planned | Section 151 Assurance | 5 |
| Projects & Special Investigations | | | | |
| Unpresented Cheques | n/a | Planned | Section 151 Assurance | 5 |
| NFI | n/a | Planned | Section 151 Assurance | 10 |
| Galileo Management System | n/a | Planned | Section 151 Assurance | 10 |
| Annual Plan & Annual Report | n/a | Planned | Section 151 Assurance | 5 |
| Annual Consultation Exercise | n/a | Planned | Section 151 Assurance | 10 |
| Health & Safety Group | n/a | Planned | Section 151 Assurance | 3 |
| Recommendation Tracker Exercise | n/a | Planned | Section 151 Assurance | 5 |
| Follow-ups | n/a | Planned | Section 151 Assurance | 20 |
| Miscellaneous Audits | | | | |
| Swansea Bay Port Health Authority | Med | Planned | Section 151 Assurance | 10 |
| Western Bay Social Services Training Team | New | Planned | Section 151 Assurance | 5 |
| Brexit | New | Planned | Section 151 Assurance | 5 |
| City Deal Review Outcomes - Follow-up | New | Planned | Section 151 Assurance | 5 |
| Swansea Central Phase 1 Programme | New | Planned | Transformation & Council Development | 5 |
| Sustainable Swansea | New | Planned | Transformation & Council Development | 10 |

Corporate Priorities

Safeguarding – Safeguarding People from Harm (411)

Education – Improving Education and Skills (246)

Economy & Infrastructure – Transforming our Economy and Infrastructure (282)

Poverty – Tackling Poverty (254)

Resources & Biodiversity – Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity (90)

Transformation & Council Development – Transformation and Future Council Development (160)

Cross Cutting Reviews (100)

Section 151 & Monitoring Officer Assurance (451)