

| <b>Audit Title</b>  | <b>Risk Rating</b> | <b>Status as at 30/06/2020</b> | <b>Corporate Priority</b> | <b>Days</b> |
|---|--------------------|--------------------------------|---------------------------|-------------|
| <b>Level 1 – Cross Cutting Reviews – Council Governance &amp; Control</b> |                    |                                |                           |             |
| Partnerships  | Med/High           | Allocated                      | Cross Cutting             | 15          |
| Corporate Governance  | Med/High           | Planned                        | Cross Cutting             | 15          |
| Whistleblowing  | Med                | Allocated                      | Cross Cutting             | 10          |
| Workforce Planning  | New                | Planned                        | Cross Cutting             | 10          |
| Local Government and Elections (Wales) Bill                               | New                | Allocated                      | 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          |
| <b>Level 2 – Fundamental Systems - Section 151 Officer Assurance</b>      |                    |                                |                           |             |
| <b>Financial Services &amp; Service Centre</b>                            |                    |                                |                           |             |
| Treasury Management   | Med                | In Progress                    | Section 151 Assurance     | 18          |
| Accounts Payable  | Med                | Planned                        | Section 151 Assurance     | 35          |
| Cash  | Med/High           | Allocated                      | Section 151 Assurance     | 30          |
| Accounts Receivable   | High               | Planned                        | Section 151 Assurance     | 35          |
| Council tax   | Med/High           | In Progress                    | Section 151 Assurance     | 30          |
| Main Accounting System  | Med                | In Progress                    | Section 151 Assurance     | 20          |
| NNDR  | Med                | Planned                        | Section 151 Assurance     | 20          |
| <b>Level 3 – Service Level Audits – Other Assurance</b>                   |                    |                                |                           |             |
| <b>Education Planning &amp; Resources</b>                                 |                    |                                |                           |             |
| Capital Planning & Delivery Unit  | Med                | In Progress                    | 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  |
| 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      | In Progress  | 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  |
| Pontybrenin Primary                          | Med      | Planned      | Education                         | 3  |
| YGG Tirdeunaw                                | Med      | In Progress  | Education                         | 3  |
| Cwmrhydyceirw Primary                        | Med      | Planned      | Education                         | 3  |
| Ysgol Crug Glas                              | Med      | Planned      | Education                         | 4  |
| Pentrehafod 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 |
| <b>Achievement &amp; Partnership Service</b> |          |              |                                   |    |
| Challenge Advisors                           | Med      | Final Issued | Education                         | 10 |
| Swansea Music Unit                           | Med/High | In Progress  | Education                         | 10 |
| <b>Vulnerable Learner Service</b>            |          |              |                                   |    |
| Additional Learning Needs Unit               | Med      | Allocated    | Education, Safeguarding & Poverty | 25 |
| Elective Education Provision                 | New      | Planned      | Education, Safeguarding & Poverty | 10 |
| Behavioural Support Unit                     | Med/Low  | Allocated    | Education, Safeguarding & Poverty | 20 |

| <b>Education Grants &amp; Other</b>                   |          |              |  |    |
|---|----------|--------------|--|----|
| 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      | In Progress  | Education, Safeguarding & Poverty      | 3  |
| <b>Child &amp; Family Services</b>                    |          |              |  |    |
| Independent Agency Payments                           | High     | Allocated    | Safeguarding                           | 10 |
| Youth Offending Service                               | Med/High | Planned      | Safeguarding                           | 10 |
| Leaving Care Act                                      | Med      | Final Issued | Safeguarding                           | 10 |
| Nant-y-Felin Children's Home                          | Med      | Planned      | Safeguarding                           | 10 |
| Adoption Allowances                                   | Med      | Allocated    | Safeguarding                           | 10 |
| Residential & Outdoor Centres                         | Med      | Allocated    | Safeguarding                           | 10 |
| <b>Adult Services</b>                                 |          |              |  |    |
| Home Care   | Med/High | Allocated    | Safeguarding                           | 10 |
| Integrated Community Equipment Service & Suresprung   | High     | Allocated    | Safeguarding                           | 10 |
| Suresprung Supported Employees Claim Process (G)      | n/a      | Planned      | Safeguarding                           | 5  |
| Victoria Park Kiosk                                   | Med/Low  | In Progress  | Safeguarding                           | 5  |
| CREST   | Med      | Allocated    | Safeguarding                           | 10 |
| Day & Residential Establishments – Questionnaires     | High     | In Progress  | Safeguarding                           | 25 |
| <b>Commissioning</b>                                  |          |              |  |    |
| Partnerships, Performance & Commissioning             | Med/High | Planned      | Poverty                                | 15 |
| Supporting People Team                                | Med      | In Progress  | Poverty                                | 5  |
| Supporting People Team–Regional Coordinator Grant (G) | n/a      | In Progress  | Poverty                                | 3  |
| Supporting People Team-Outcomes Grant (G)             | n/a      | In Progress  | Poverty                                | 5  |
| Supporting People Grant (G)                           | n/a      | Planned      | Poverty                                | 10 |
| <b>Tackling Poverty</b>                               |          |              |  |    |
| Children & Communities Grant (G)                      | New      | Planned      | Poverty                                | 10 |
| <b>Building Services</b>                              |          |              |  |    |
| Heol y Gors – Stores, Admin & Finance, Oracle T&L     | Med/High | Planned      | Economy & Infrastructure, Safeguarding | 20 |
| Heol y Gors – Estimating                              | Med      | Allocated    | Economy & Infrastructure, Safeguarding | 15 |

|   |          |              |   |    |
|---|----------|--------------|---|----|
| Day to Day Repairs / Maintenance Section      | Med      | Allocated    | Economy & Infrastructure, Safeguarding            | 20 |
| <b>Property Services</b>                      |          |              |   |    |
| Facilities Management                         | Med/Low  | Planned      | Economy & Infrastructure                          | 5  |
| <b>Waste Management &amp; Parks</b>           |          |              |   |    |
| Waste Enforcement                             | Med      | In Progress  | Economy & Infrastructure, Resource & Biodiversity | 10 |
| Central Operations – Playgrounds              | Med      | In Progress  | Economy & Infrastructure, Resource & Biodiversity | 10 |
| Parks Central Operations – Tree Services Unit | Low      | In Progress  | Economy & Infrastructure, Resource & Biodiversity | 5  |
| Knotweed Service                              | New      | Planned      | Economy & Infrastructure, Resource & Biodiversity | 5  |
| <b>Highways &amp; Transportation</b>          |          |              |   |    |
| Home to School Transport                      | Med      | In Progress  | Economy & Infrastructure                          | 15 |
| Concessionary Bus Fares                       | Med      | In Progress  | Economy & Infrastructure                          | 5  |
| Swansea Marina                                | Med      | Final Issued | Economy & Infrastructure                          | 15 |
| Highways Trading Account                      | Med      | In Progress  | Economy & Infrastructure                          | 7  |
| Live Kilometre Support Grant (G)              | n/a      | Allocated    | Economy & Infrastructure                          | 5  |
| <b>Housing &amp; Public Health</b>            |          |              |   |    |
| Blaenymaes District Housing Office            | Med      | In Progress  | Poverty, Safeguarding                             | 15 |
| Townhill District Housing Office              | Med      | Allocated    | Poverty, Safeguarding                             | 15 |
| Voids Team / HPU                              | Med      | Planned      | Poverty, Safeguarding                             | 15 |
| Rent & Arrears Team                           | Med      | Final Issued | Poverty, Safeguarding                             | 18 |
| Sheltered Housing Service                     | Med/Low  | Final Issued | Poverty, Safeguarding                             | 10 |
| Public Protection – Administration Division   | Low      | Planned      | Poverty, Safeguarding                             | 15 |
| Public Protection - Taxi Licencing Division   | Med/Low  | Allocated    | 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      | Final Issued | Poverty, Safeguarding                             | 10 |
| <b>Cultural Services</b>                      |          |              |   |    |
| Spot Checks & Land Train                      | Med      | Planned      | Economy & Infrastructure                          | 5  |
| Grand Theatre                                 | Med/High | Planned      | Economy & Infrastructure                          | 25 |
| Glyn Vivian Art Gallery                       | Med      | In Progress  | Economy & Infrastructure                          | 15 |
| Swansea Museum                                | Med/Low  | Planned      | Economy & Infrastructure                          | 10 |
| Branch Libraries                              | Med      | In Progress  | 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      | In Progress  | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Rights of Way                                      | Med/Low  | Allocated    | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Planning & Enforcement                             | Med/High | Allocated    | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Planning – AONB                                    | Med      | Final Issued | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Strategic Planning Team                            | New      | Planned      | Economy & Infrastructure, Resources & Biodiversity | 10 |
| Communications & Marketing                         |          |              |  |    |
| Corporate Management Team Support                  | Med      | Final Issued | Transformation & Council Development               | 5  |
| Risk Management                                    | Med/High | Allocated    | Transformation & Council Development               | 10 |
| Risk Management System                             | New      | In Progress  | Transformation & Council Development               | 5  |
| Financial Services & Service Centre                |          |              |  |    |
| Cashiers Office                                    | Med/High | Planned      | Section 151 Assurance                              | 10 |
| Write-Off Requests                                 | n/a      | Final Issued | Section 151 Assurance                              | 5  |
| Cashiers Write-off's                               | n/a      | Planned      | Section 151 Assurance                              | 5  |
| Car Loans  | Med      | In Progress  | Section 151 Assurance                              | 5  |
| Trusts & Charities                                 | Med/High | Planned      | Section 151 Assurance                              | 5  |
| Direct Payments – Adult & Child and Family         | Med      | In Progress  | Section 151 Assurance, Safeguarding                | 15 |
| Learning Disability Recharges                      | Med      | In Progress  | Section 151 Assurance, Safeguarding                | 10 |
| Officers Expenses                                  | New      | In Progress  | Section 151 Assurance                              | 10 |
| Purchase Card Transactions Monthly Review          | Med      | In Progress  | Section 151 Assurance                              | 10 |
| PCI Data Security Standard                         | High     | Planned      | Section 151 Assurance                              | 5  |
| Passport to Leisure                                | Low      | Allocated    | Section 151 Assurance                              | 10 |
| Legal, Democratic Services & Business Intelligence |          |              |  |    |
| Councillors Expenses & Allowances                  | Med/Low  | In Progress  | Monitoring Officer Assurance                       | 10 |
| Councillors Code of Conduct                        | Med      | In Progress  | Monitoring Officer Assurance                       | 10 |
| Scrutiny   | Med      | Allocated    | Monitoring Officer Assurance                       | 15 |
| Commercial Services                                |          |              |  |    |
| Supplier Contracts Review                          | High     | Allocated    | Section 151 Assurance                              | 10 |

|   |          |             |                                      |    |
|---|----------|-------------|--------------------------------------|----|
| Contracts Review – Education                                      | New      | Allocated   | Section 151 Assurance                | 10 |
| Retrospective Orders on Oracle Review                             | New      | In Progress | Section 151 Assurance                | 10 |
| <b>Chief Transformation Officer Audits</b>                        |          |             |                                      |    |
| Contact Centre  | Med      | Planned     | Transformation & Council Development | 5  |
| HR Policies   | Low      | Allocated   | 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      | Allocated   | Transformation & Council Development | 10 |
| <b>Contract Audits</b>  |          |             |                                      |    |
| Highways & Transportation – Business Case, Tendering & Evaluation | Med/High | In Progress | Transformation & Council Development | 20 |
| CBS Tendering   | Med/High | Allocated   | Transformation & Council Development | 10 |
| Housing – Systems Overview  | Med      | Allocated   | Transformation & Council Development | 10 |
| Commissioning – Tendering, Letting & Monitoring                   | High     | Allocated   | Transformation & Council Development | 15 |
| <b>Computer Audits</b>  |          |             |                                      |    |
| 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 | Allocated   | Transformation & Council Development | 10 |
| Procurement of Telephones   | Med      | Allocated   | Transformation & Council Development | 5  |
| Use of Idea - Data Matching NFI                                   | n/a      | Planned     | Section 151 Assurance                | 5  |
| <b>Projects &amp; Special Investigations</b>                      |          |             |                                      |    |
| Unpresented Cheques   | n/a      | In Progress | Section 151 Assurance                | 5  |
| NFI   | n/a      | Planned     | Section 151 Assurance                | 10 |
| Galileo Management System   | n/a      | In Progress | 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      | In Progress | Section 151 Assurance                | 20 |
|   |          |             |                                      |    |

| Miscellaneous Audits                      |     |             |                                      |    |
|---|-----|-------------|--------------------------------------|----|
| Swansea Bay Port Health Authority         | Med | Allocated   | 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 | In Progress | Section 151 Assurance                | 5  |
| Swansea Central Phase 1 Programme         | New | Planned     | Transformation & Council Development | 5  |
| Sustainable Swansea                       | New | Allocated   | 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)