

<b>Audit Title</b>	<b>Risk Rating</b>	<b>Status as at 30/09/2020</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	Final Issued	Section 151 Assurance	18
Accounts Payable	Med	Allocated	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	Final Issued	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	Final Issued	Education	10
Casllwchwr Primary	Med	Allocated	Education	3
YGG Gellionnen	Med	Planned	Education	3
Birchgrove Primary	Med	Allocated	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	Allocated	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	Allocated	Education	3
St.Illtyd's RC Primary	Med	Planned	Education	3
Pentre'r Graig Primary	Med	Planned	Education	3
Llanrhyddian Primary	Med	Allocated	Education	3
Oystermouth Primary	Med	Final Issued	Education	3
Tre Uchaf Primary	Med/High	Planned	Education	3
Whitestone Primary	Med	Allocated	Education	3
Clydach Primary	Med	Allocated	Education	3
Blaenymaes Primary	Med	Planned	Education	3
Ysgol Cymraeg y Cwm	Med	Allocated	Education	3
Pontybrenin Primary	Med	Allocated	Education	3
YGG Tirdeunaw	Med	Final Issued	Education	3
Cwmrhydyceirw Primary	Med	Allocated	Education	3
Ysgol Crug Glas	Med	Allocated	Education	4
Pentrehafod Comprehensive	Med	Planned	Education	10
Bishopston Comprehensive	Med	Allocated	Education	10
Pontarddulais Comprehensive	Med	Planned	Education	10
Ysgol Gyfun Bryn Tawe	Med	Allocated	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

Education Grants & Other				
Additional Support for Disadvantaged Learners (G)	n/a	Planned	Education, Safeguarding & Poverty	5
Regional Consortia School Improvement (G)	n/a	Allocated	Education, Safeguarding & Poverty	15
Pupil Deprivation (G)	n/a	Allocated	Education, Safeguarding & Poverty	10
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Child & Family Services				
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
Adult Services				
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	Final Issued	Safeguarding	5
CREST	Med	Allocated	Safeguarding	10
Day & Residential Establishments – Questionnaires	High	Final Issued	Safeguarding	25
Commissioning				
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	Final Issued	Poverty	3
Supporting People Team-Outcomes Grant (G)	n/a	Not Required	Poverty	5
Supporting People Grant (G)	n/a	In Progress	Poverty	10
Tackling Poverty				
Children & Communities Grant (G)	New	Not Required	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	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	Allocated	Economy & Infrastructure	5
<b>Waste Management &amp; Parks</b>				
Waste Enforcement	Med	In Progress	Economy & Infrastructure, Resource & Biodiversity	10
Central Operations – Playgrounds	Med	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
Parks Central Operations – Tree Services Unit	Low	Final Issued	Economy & Infrastructure, Resource & Biodiversity	5
Knotweed Service	New	Final Issued	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	In Progress	Poverty, Safeguarding	15
Public Protection - Taxi Licencing Division	Med/Low	Allocated	Poverty, Safeguarding	10
Public Protection – Pest & Animal Control	Med/Low	Allocated	Poverty, Safeguarding	5
Public Protection – Housing Division	New	In Progress	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	In Progress	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	In Progress	Economy & Infrastructure	15

Planning & City Regeneration				
Development Projects & Joint Ventures	Med	Allocated	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	Draft Issued	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	Final Issued	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	Final Issued	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	Planned	Section 151 Assurance	10

Contracts Review – Education	New	Planned	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	In Progress	Transformation & Council Development	10
Housing – Systems Overview	Med	In Progress	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	In Progress	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	Allocated	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)