

Audit Title	Risk Rating	Status as at 18/01/2021	Corporate Priority	Days
Level 1 – Cross Cutting Reviews – Council Governance & Control				
Partnerships	Med/High	Allocated	Cross Cutting	15
Corporate Governance	Med/High	Allocated	Cross Cutting	15
Whistleblowing	Med	Draft Issued	Cross Cutting	10
Workforce Planning	New	Planned	Cross Cutting	10
Local Government and Elections (Wales) Bill	New	Deferred	Cross Cutting	10
FOI / SAR/ EIR Review	New	Planned	Cross Cutting	15
Procurement Thematic Review	New	Allocated	Cross Cutting	15
Added Value Work	n/a	In Progress	Cross Cutting	10
Level 2 – Fundamental Systems - Section 151 Officer Assurance				
Financial Services & Service Centre				
Treasury Management	Med	Final Issued	Section 151 Assurance	18
Accounts Payable	Med	In Progress	Section 151 Assurance	35
Cash	Med/High	In Progress	Section 151 Assurance	30
Accounts Receivable	High	In Progress	Section 151 Assurance	35
Council tax	Med/High	Final Issued	Section 151 Assurance	30
Main Accounting System	Med	Final Issued	Section 151 Assurance	20
NNDR (<i>Substantial</i>)	Med	Deferred	Section 151 Assurance	20
Level 3 – Service Level Audits – Other Assurance				
Education Planning & Resources				
Capital Planning & Delivery Unit	Med	Final Issued	Education	10
Casllwchwr Primary	Med	Draft Issued	Education	3
YGG Gellionnen (<i>Substantial</i>)	Med	Deferred	Education	3
Birchgrove Primary (<i>High</i>)	Med	Deferred	Education	3
Gendros Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Llangyfelach Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Brynmill Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Clase Primary (<i>Substantial</i>)	Med/High	Deferred	Education	3
Plasmarl Primary	Med	In Progress	Education	3
Parkland Primary	Med	Final Issued	Education	3

Craigyfelen Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Gorseinon Primary (<i>Substantial</i>)	Med/High	Deferred	Education	3
Penllergaer Primary (<i>Substantial</i>)	Med	Deferred	Education	3
YGG Tan-y-Lan (<i>Substantial</i>)	Med	Deferred	Education	3
Glais Primary (<i>High</i>)	Med	Deferred	Education	3
Craigcefnparc Primary (<i>High</i>)	Med	Deferred	Education	3
Ynystawe Primary (<i>Substantial</i>)	Med	Deferred	Education	3
St.Illtyd's RC Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Pentre'r Graig Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Llanrhydian Primary	Med	In Progress	Education	3
Oystermouth Primary	Med	Final Issued	Education	3
Tre Uchaf Primary	Med/High	In Progress	Education	3
Whitestone Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Clydach Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Blaenymaes Primary (<i>Substantial</i>)	Med	Deferred	Education	3
Ysgol Cymraeg y Cwm (<i>Substantial</i>)	Med	Deferred	Education	3
Pontybrenin Primary (<i>Substantial</i>)	Med	Deferred	Education	3
YGG Tirdeunaw	Med	Final Issued	Education	3
Cwmrhydyceirw Primary	Med	In Progress	Education	3
Ysgol Crug Glas (<i>Substantial</i>)	Med	Deferred	Education	4
Pentrehafod Comprehensive (<i>High</i>)	Med	Deferred	Education	10
Bishopston Comprehensive (<i>Substantial</i>)	Med	Deferred	Education	10
Pontarddulais Comprehensive (<i>High</i>)	Med	Deferred	Education	10
Ysgol Gyfun Bryn Tawe (<i>High</i>)	Med	Deferred	Education	10
Achievement & Partnership Service				
Challenge Advisors	Med	Final Issued	Education	10
Swansea Music Unit	Med/High	In Progress	Education	10
Vulnerable Learner Service				
Additional Learning Needs Unit	Med	Allocated	Education, Safeguarding & Poverty	25
Elective Education Provision	New	Allocated	Education, Safeguarding & Poverty	10
Behavioural Support Unit (<i>Substantial</i>)	Med/Low	Deferred	Education, Safeguarding & Poverty	20

Education Grants & Other				
Additional Support for Disadvantaged Learners (G)	n/a	Not Required	Education, Safeguarding & Poverty	5
Regional Consortia School Improvement (G)	n/a	Final Issued	Education, Safeguarding & Poverty	15
Pupil Deprivation (G)	n/a	Final Issued	Education, Safeguarding & Poverty	10
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Child & Family Services				
Independent Agency Payments (<i>Moderate</i>)	High	Deferred	Safeguarding	10
Youth Offending Service	Med/High	In Progress	Safeguarding	10
Leaving Care Act	Med	Final Issued	Safeguarding	10
Nant-y-Felin Children's Home (<i>Substantial</i>)	Med	Deferred	Safeguarding	10
Adoption Allowances (<i>High</i>)	Med	Deferred	Safeguarding	10
Residential & Outdoor Centres (<i>High</i>)	Med	Deferred	Safeguarding	10
Adult Services				
Home Care (<i>Substantial</i>)	Med/High	Deferred	Safeguarding	10
Integrated Community Equipment Service & Suresprung (<i>Substantial</i>)	High	Deferred	Safeguarding	10
Suresprung Supported Employees Claim Process (G)	n/a	Allocated	Safeguarding	5
Victoria Park Kiosk	Med/Low	Final Issued	Safeguarding	5
CREST (<i>Substantial</i>)	Med	Deferred	Safeguarding	10
Day & Residential Establishments – Questionnaires	High	Final Issued	Safeguarding	25
Commissioning				
Partnerships, Performance & Commissioning	Med/High	Final Issued	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	Final Issued	Poverty	10
Tackling Poverty				
Children & Communities Grant (G)	New	Not Required	Poverty	10
Building Services				
Heol y Gors – Stores, Admin & Finance, Oracle T&L (<i>High</i>)	Med/High	Deferred	Economy & Infrastructure, Safeguarding	20
Heol y Gors – Estimating (<i>High</i>)	Med	Deferred	Economy & Infrastructure, Safeguarding	15

Day to Day Repairs / Maintenance Section (<i>Substantial</i>)	Med	Deferred	Economy & Infrastructure, Safeguarding	20
Property Services				
Facilities Management	Med/Low	Final Issued	Economy & Infrastructure	5
Waste Management & Parks				
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
Highways & Transportation				
Home to School Transport	Med	In Progress	Economy & Infrastructure	15
Concessionary Bus Fares (<i>Substantial</i>)	Med	Deferred	Economy & Infrastructure	5
Swansea Marina	Med	Final Issued	Economy & Infrastructure	15
Highways Trading Account	Med	Final Issued	Economy & Infrastructure	7
Live Kilometre Support Grant (G)	n/a	Allocated	Economy & Infrastructure	5
Housing & Public Health				
Blaenymaes District Housing Office	Med	Final Issued	Poverty, Safeguarding	15
Townhill District Housing Office	Med	Final Issued	Poverty, Safeguarding	15
Voids Team / HPU	Med	In Progress	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	Final Issued	Poverty, Safeguarding	15
Public Protection - Taxi Licencing Division (<i>High</i>)	Med/Low	Deferred	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
Cultural Services				
Spot Checks & Land Train (<i>High</i>)	Med	Deferred	Economy & Infrastructure	5
Grand Theatre	Med/High	Draft Issued	Economy & Infrastructure	25
Glyn Vivian Art Gallery	Med	In Progress	Economy & Infrastructure	15
Swansea Museum	Med/Low	Allocated	Economy & Infrastructure	10
Branch Libraries	Med	Final Issued	Economy & Infrastructure	15
Brangwyn Hall	Med	Final Issued	Economy & Infrastructure	15

Planning & City Regeneration				
Development Projects & Joint Ventures	Med	Draft Issued	Economy & Infrastructure, Resources & Biodiversity	10
Swansea Mobility Hire	Med	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Rights of Way	Med/Low	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Planning & Enforcement	Med/High	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
Planning – AONB	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
Strategic Planning Team	New	Allocated	Economy & Infrastructure, Resources & Biodiversity	10
Communications & Marketing				
Corporate Management Team Support	Med	Final Issued	Transformation & Council Development	5
Risk Management	Med/High	Final Issued	Transformation & Council Development	10
Risk Management System	New	In Progress	Transformation & Council Development	5
Financial Services & Service Centre				
Cashiers Office	Med/High	Allocated	Section 151 Assurance	10
Write-Off Requests	n/a	Final Issued	Section 151 Assurance	5
Cashiers Write-off's	n/a	Allocated	Section 151 Assurance	5
Car Loans	Med	Final Issued	Section 151 Assurance	5
Trusts & Charities	Med/High	Allocated	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	Final Issued	Section 151 Assurance	10
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10
PCI Data Security Standard	High	Final Issued	Section 151 Assurance	5
Passport to Leisure	Low	In Progress	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	In Progress	Monitoring Officer Assurance	15
Commercial Services				
Supplier Contracts Review	High	Allocated	Section 151 Assurance	10

Contracts Review – Education	New	Deferred	Section 151 Assurance	10
Retrospective Orders on Oracle Review	New	In Progress	Section 151 Assurance	10
Chief Transformation Officer Audits				
Contact Centre	Med	Not Required	Transformation & Council Development	5
HR Policies	Low	Allocated	Transformation & Council Development	10
Corporate Learning & Development Team	New	Allocated	Transformation & Council Development	5
Oracle Cloud	New	Deferred	Transformation & Council Development	10
Management of Absence	New	Draft Issued	Transformation & Council Development	10
Contract Audits				
Highways & Transportation – Business Case, Tendering & Evaluation	Med/High	Draft Issued	Transformation & Council Development	20
CBS Tendering	Med/High	Final Issued	Transformation & Council Development	10
Housing – Systems Overview	Med	Final Issued	Transformation & Council Development	10
Commissioning – Tendering, Letting & Monitoring	High	Allocated	Transformation & Council Development	15
Computer Audits				
File Controls (<i>Substantial</i>)	Med/High	Deferred	Transformation & Council Development	5
ICT Data Storage (<i>High</i>)	Med/High	Deferred	Transformation & Council Development	5
Internet Controls for Clients – Social Services (<i>Moderate</i>)	Med	Deferred	Transformation & Council Development	5
Procurement of IT (<i>Substantial</i>)	Med/High	Deferred	Transformation & Council Development	10
Procurement of Telephones (<i>Substantial</i>)	Med	Deferred	Transformation & Council Development	5
Use of Idea - Data Matching NFI	n/a	Final Issued	Section 151 Assurance	5
Projects & Special Investigations				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
NFI	n/a	Final Issued	Section 151 Assurance	10
Galileo Management System	n/a	In Progress	Section 151 Assurance	10
Annual Plan & Annual Report	n/a	In Progress	Section 151 Assurance	5
Annual Consultation Exercise	n/a	In Progress	Section 151 Assurance	10
Health & Safety Group	n/a	In Progress	Section 151 Assurance	3
Recommendation Tracker Exercise	n/a	Final Issued	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	Deferred	Section 151 Assurance	5
Brexit	New	Planned	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	Final Issued	Section 151 Assurance	5
Swansea Central Phase 1 Programme	New	Allocated	Transformation & Council Development	5
Sustainable Swansea	New	Not Required	Transformation & Council Development	10

Note: For audits that have been completed previously and are noted as deferred in the above table, the assurance rating provided as the last completed audit has been included in brackets after the audit title for information.

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)