

| Audit Title   | Risk Rating | Status as at 30/06/19 | Corporate Priority    | Days |
|---|-------------|-----------------------|-----------------------|------|
| <b>Level 1 – Cross Cutting Reviews – Council Governance &amp; Control</b> |             |                       |                       |      |
| Corporate Governance  | Med/High    | In Progress           | Cross Cutting         | 20   |
| Delegated Decision Making   | New         | In Progress           | Cross Cutting         | 10   |
| Workforce Planning  | New         | In Progress           | Cross Cutting         | 10   |
| Ethics & Values   | New         | In Progress           | Cross Cutting         | 15   |
| Safeguarding  | Med/Low     | In Progress           | Cross Cutting         | 10   |
| Information Governance  | New         | Planned               | Cross Cutting         | 20   |
| Corporate Performance Management  | 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>                            |             |                       |                       |      |
| Employee Services   | Med/High    | Planned               | Section 151 Assurance | 30   |
| Pensions Administration   | Med/High    | Planned               | Section 151 Assurance | 20   |
| Teachers Pensions   | Med         | Planned               | Section 151 Assurance | 15   |
| Accounts Receivable   | Med         | Planned               | Section 151 Assurance | 35   |
| NNDR  | Med         | Planned               | Section 151 Assurance | 22   |
| Pension Fund Investments  | Med/High    | Planned               | Section 151 Assurance | 7    |
| Housing Rents   | Med         | Planned               | Section 151 Assurance | 20   |
| Housing & Council Tax Benefits  | Med/High    | Planned               | Section 151 Assurance | 40   |
| Fixed Assets  | Med         | Planned               | Section 151 Assurance | 25   |
| <b>Level 3 – Service Level Audits – Other Assurance</b>                   |             |                       |                       |      |
| <b>Education Planning &amp; Resources</b>                                 |             |                       |                       |      |
| Bishopston Primary  | Med         | Draft Issued          | Education             | 3    |
| Cadle Primary   | High        | In Progress           | Education             | 3    |
| Clwyd Community Primary   | Med         | Planned               | Education             | 3    |
| Crwys Primary   | Med         | Draft Issued          | Education             | 3    |
| Cwmglas Primary   | Med         | Planned               | Education             | 3    |
| Glyncollen Primary  | Med         | In Progress           | Education             | 3    |
| Grange Primary  | Med         | Planned               | Education             | 3    |
| Gwyrosydd Primary   | Med         | Planned               | Education             | 3    |
| Hafod Primary   | Med         | Planned               | Education             | 3    |
| Morrison Primary  | Med         | Final Issued          | Education             | 3    |
| Pen y Fro Primary   | Med         | Planned               | Education             | 3    |
| Pengelli Primary  | Med         | In Progress           | Education             | 3    |

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|---|----------|--------------|-----------------------------------|----|
| Pennard Primary                                   | Med      | In Progress  | Education                         | 3  |
| Pentrechwyth Primary                              | Med/Low  | Planned      | Education                         | 3  |
| Penyrheol Primary                                 | Med      | In Progress  | Education                         | 3  |
| Pondarddulais Primary                             | Med      | In Progress  | Education                         | 3  |
| Seaview Community Primary                         | Med      | Planned      | Education                         | 3  |
| St Thomas Primary                                 | Med/Low  | Planned      | Education                         | 3  |
| Waun Wen Primary                                  | Med      | In Progress  | Education                         | 3  |
| Waunarlwydd Primary                               | Med      | Final Issued | Education                         | 3  |
| YGG Felindre                                      | Med      | Planned      | Education                         | 3  |
| YGG Pontybrenin                                   | Med      | Draft Issued | Education                         | 3  |
| St David's RC Primary                             | Med      | In Progress  | Education                         | 3  |
| St Joseph's Cathedral Primary                     | Med      | Planned      | Education                         | 3  |
| St Joseph's Catholic Primary                      | Med      | Final Issued | Education                         | 3  |
| Bishop Vaughan Comprehensive                      | Med      | Planned      | Education                         | 10 |
| Morrison Comprehensive                            | Med      | In Progress  | Education                         | 10 |
| Olchfa Comprehensive                              | Med      | In Progress  | Education                         | 10 |
| Ysgol Gyfun Gwyr                                  | Med      | Planned      | Education                         | 10 |
| Penybryn Special School                           | Med/High | Planned      | Education                         | 4  |
| <b>Achievement &amp; Partnership Service</b>      |          |              |                                   |    |
| Curriculum Support Unit inc. Welsh Service        | New      | Final Issued | Education                         | 5  |
| School Support Unit                               | Low      | Final Issued | Education                         | 5  |
| <b>Vulnerable Learner Service</b>                 |          |              |                                   |    |
| Swansea Pupil Referral Units                      | Med      | In Progress  | Education, Safeguarding & Poverty | 15 |
| <b>Education Grants &amp; Other</b>               |          |              |                                   |    |
| Additional Support for Disadvantaged Learners (G) | n/a      | In Progress  | Education, Safeguarding & Poverty | 5  |
| Regional Consortia School Improvement (G)         | n/a      | In Progress  | Education, Safeguarding & Poverty | 15 |
| Pupil Deprivation (G)                             | n/a      | In Progress  | Education, Safeguarding & Poverty | 10 |
| Schools Annual Report                             | n/a      | In Progress  | Education, Safeguarding & Poverty | 3  |
| <b>Child &amp; Family Services</b>                |          |              |                                   |    |
| Discretionary Payments                            | Med/High | Planned      | Safeguarding                      | 10 |
| Emergency Duties Team                             | Low      | In Progress  | Safeguarding                      | 10 |
| Use of Taxis Authorisation                        | Med/Low  | Planned      | Safeguarding                      | 10 |
| <b>Adult Services</b>                             |          |              |                                   |    |

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| Supporting People (G)                            | n/a      | In Progress  | Safeguarding                              | 10 |
| Suresprung Supported Employees Claim Process (G) | n/a      | Planned      | Safeguarding                              | 5  |
| Flexible Support Service                         | Med      | Final Issued | Safeguarding                              | 10 |
| Fforestfach Day Service                          | Low      | Final Issued | Safeguarding                              | 10 |
| <b>Social Services Directorate Services</b>      |          |              |   |    |
| Client Property & Finance                        | High     | Planned      | Safeguarding                              | 15 |
| Business Support Team - Adult Services           | New      | In Progress  | Safeguarding                              | 10 |
| Application Controls - Paris System              | Med      | Planned      | Safeguarding                              | 5  |
| <b>Poverty &amp; Prevention</b>                  |          |              |   |    |
| Adult Prosperity & Wellbeing Service             | Low      | Final Issued | Poverty                                   | 5  |
| Young Peoples Service                            | Med      | Final Issued | Poverty                                   | 15 |
| Info-Nation                                      | Med      | Final Issued | Poverty                                   | 10 |
| Community Safety                                 | Med/Low  | In Progress  | Poverty                                   | 10 |
| Lifelong Learning Service                        | Med      | Final Issued | Poverty                                   | 10 |
| <b>Building Services</b>                         |          |              |   |    |
| Heol y Gors - Plant & Transport                  | Med      | In Progress  | Economy & Infrastructure,<br>Safeguarding | 7  |
| <b>Property Services</b>                         |          |              |   |    |
| Estates Management & Quadrant Rents              | Med      | Final Issued | Economy & Infrastructure                  | 10 |
| <b>Waste Management &amp; Parks</b>              |          |              |   |    |
| Waste Management                                 | Med      | Draft Issued | Economy & Infrastructure                  | 10 |
| Street Cleaning                                  | Med      | In Progress  | Economy & Infrastructure                  | 10 |
| <b>Highways &amp; Transportation</b>             |          |              |   |    |
| Service Support                                  | Low      | Final Issued | Economy & Infrastructure                  | 15 |
| Transport Support                                | Med      | Final Issued | Economy & Infrastructure                  | 10 |
| Concessionary Bus Fares                          | Med      | In Progress  | Economy & Infrastructure                  | 5  |
| Recovery of Abandoned Vehicles                   | Med/Low  | Final Issued | Economy & Infrastructure                  | 5  |
| Swansea City Bus Station                         | Med      | Final Issued | Economy & Infrastructure                  | 8  |
| Advance Payments Code                            | Med      | Planned      | Economy & Infrastructure                  | 8  |
| CTU Fleet Maintenance                            | Med/High | Planned      | Economy & Infrastructure                  | 15 |
| CTU Fuel   | Med      | In Progress  | Economy & Infrastructure                  | 10 |
| CTU Stores                                       | Med      | In Progress  | Economy & Infrastructure                  | 8  |
| Transport Depot                                  | Med      | Final Issued | Economy & Infrastructure                  | 15 |
| Live Kilometre Support (G)                       | n/a      | Final Issued | Economy & Infrastructure                  | 5  |
| <b>Housing &amp; Public Health</b>               |          |              |   |    |

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| Penlan District Housing Office                    | Med      | Final Issued | Poverty, Safeguarding                              | 15 |
| Gorseinon District Housing Office                 | Med      | Planned      | Poverty, Safeguarding                              | 10 |
| Furniture Store & Tenancy Scheme                  | Low      | In Progress  | Poverty, Safeguarding                              | 12 |
| Tenancy Support Unit & SPG                        | Low      | Planned      | Poverty, Safeguarding                              | 10 |
| Housing Partnerships                              | Med      | In Progress  | Poverty, Safeguarding                              | 10 |
| Food & Safety Division                            | Low      | In Progress  | Poverty, Safeguarding                              | 10 |
| Pollution Control Division                        | Med/Low  | Final Issued | Poverty, Safeguarding                              | 10 |
| <b>Cultural Services</b>                          |          |              |  |    |
| Community Parks Development & Community Buildings | Low      | In Progress  | Economy & Infrastructure                           | 15 |
| Foreshores & Lettings: Sports Permits             | Low      | Planned      | Economy & Infrastructure                           | 10 |
| Active Swansea                                    | Med      | Planned      | Economy & Infrastructure                           | 5  |
| Spot Checks                                       | Med      | Deferred     | Economy & Infrastructure                           | 5  |
| Grand Theatre                                     | Med/High | Final Issued | Economy & Infrastructure                           | 15 |
| Grand Theatre & Glyn Vivian Catering              | New      | Planned      | Economy & Infrastructure                           | 5  |
| Literature Officer                                | Low      | Planned      | Economy & Infrastructure                           | 5  |
| Libraries Administration                          | Med/Low  | In Progress  | Economy & Infrastructure                           | 10 |
| Special Events                                    | Med      | Final Issued | Economy & Infrastructure                           | 15 |
| Passport to Leisure                               | Low      | Planned      | Economy & Infrastructure                           | 10 |
| Tourism Marketing                                 | Med/Low  | In Progress  | Economy & Infrastructure                           | 10 |
| <b>Planning &amp; City Regeneration</b>           |          |              |  |    |
| Sustainable Development                           | Low      | Planned      | Economy & Infrastructure, Resources & Biodiversity | 8  |
| Economic Development Administration               | Med/Low  | In Progress  | Economy & Infrastructure, Resources & Biodiversity | 10 |
| External Funding Team                             | Med/High | Planned      | Economy & Infrastructure, Resources & Biodiversity | 5  |
| Planning Services Administration & Fees           | Med      | Final Issued | Economy & Infrastructure, Resources & Biodiversity | 15 |
| Section 106 Agreements                            | Med/High | In Progress  | Economy & Infrastructure, Resources & Biodiversity | 10 |
| <b>Communications &amp; Marketing</b>             |          |              |  |    |
| Communications & Public Relations                 | Med      | Planned      | Transformation & Council Development               | 10 |
| Design Print                                      | Med      | Planned      | Transformation & Council Development               | 15 |
| <b>Financial Services &amp; Service Centre</b>    |          |              |  |    |
| 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      | In Progress  | Section 151 Assurance                              | 5  |

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| Insurance   | Med      | Draft Issued | Section 151 Assurance                | 10 |
| Taxation VAT  | Med      | In Progress  | Section 151 Assurance                | 10 |
| Pension Fund Other Transactions                               | Med      | In Progress  | Section 151 Assurance                | 10 |
| Trusts & Charities  | Med      | In Progress  | Section 151 Assurance                | 10 |
| Budget Strategy & Management                                  | New      | In Progress  | Section 151 Assurance                | 10 |
| Direct Payments - Adult and Child & Family                    | Med      | Planned      | Section 151 Assurance                | 15 |
| Welcome Break   | Low      | Planned      | Section 151 Assurance                | 5  |
| Debt Recovery   | High     | In Progress  | Section 151 Assurance                | 20 |
| Employee Vetting (DBS)  | High     | In Progress  | Section 151 Assurance                | 10 |
| Purchase Cards  | Med      | Final Issued | Section 151 Assurance                | 15 |
| <b>Digital &amp; Transformation</b>                           |          |              |                                      |    |
| Information Management  | Med      | Planned      | Transformation & Council Development | 10 |
| <b>Legal, Democratic Services &amp; Business Intelligence</b> |          |              |                                      |    |
| Coroners Service  | Med      | Final Issued | Monitoring Officer Assurance         | 12 |
| Debt Recovery Process   | High     | Planned      | Monitoring Officer Assurance         | 10 |
| Review of Legal Files   | New      | In Progress  | Monitoring Officer Assurance         | 10 |
| <b>Commercial Services</b>                                    |          |              |                                      |    |
| Cultural Services Contracts Review                            | New      | Planned      | Section 151 Assurance                | 10 |
| <b>Chief Transformation Officer Audits</b>                    |          |              |                                      |    |
| Corporate Complaints  | Med      | In Progress  | Transformation & Council Development | 8  |
| Welsh Translation Unit  | Med      | In Progress  | Transformation & Council Development | 10 |
| CRM System Application Controls                               | New      | Planned      | Transformation & Council Development | 10 |
| Risk Management   | Med/High | In Progress  | Section 151 Assurance                | 10 |
| <b>Contract Audits</b>  |          |              |                                      |    |
| Legal Pre-Contract Acceptance of Tenders                      | Med      | Planned      | Monitoring Officer Assurance         | 20 |
| Procurement Contract Register                                 | Med      | In Progress  | Transformation & Council Development | 10 |
| Final Accounts  | n/a      | Planned      | Section 151 Assurance                | 3  |
| Appraisal of Contractors for Tenders                          | n/a      | Planned      | Section 151 Assurance                | 5  |
| <b>Computer Audits</b>  |          |              |                                      |    |
| PC Controls   | Med/High | In Progress  | Transformation & Council Development | 5  |
| Network Controls - Corporate & Education                      | Med      | In Progress  | Transformation & Council Development | 10 |
| Internet Controls - Education Network                         | Med/Low  | Planned      | Transformation & Council Development | 10 |

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| Libraries Public Access Network              | Med/Low  | In Progress | Transformation & Council Development | 5  |
| E-Commerce Controls - Web Development        | New      | Planned     | Transformation & Council Development | 10 |
| Physical & Environmental Controls and VSE    | Med/High | Planned     | Transformation & Council Development | 10 |
| Computer Operations                          | Med/High | in Progress | Transformation & Council Development | 5  |
| Change Control                               | Med      | Planned     | Transformation & Council Development | 5  |
| Change Control - Oracle                      | Med/High | Planned     | Transformation & Council Development | 5  |
| Use of Idea - Data Extraction                | n/a      | Planned     | Section 151 Assurance                | 5  |
| Use of Idea - Data Matching NFI 2018         | n/a      | Planned     | Section 151 Assurance                | 5  |
| <b>Projects &amp; Special Investigations</b> |          |             |                                      |    |
| Unpresented Cheques                          | n/a      | Planned     | Section 151 Assurance                | 5  |
| NFI 2018/19                                  | n/a      | Planned     | Section 151 Assurance                | 20 |
| 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      | In Progress | Section 151 Assurance                | 5  |
| Follow-ups                                   | n/a      | Planned     | Section 151 Assurance                | 20 |
| Purchase Cards - Transaction Sample Reviews  | n/a      | Planned     | Section 151 Assurance                | 10 |
| Petty Cash Investigations                    | n/a      | Planned     | Section 151 Assurance                | 3  |
| <b>Miscellaneous Audits</b>                  |          |             |                                      |    |
| sQuid System Review                          | New      | Planned     | Section 151 Assurance                | 10 |
| Brexit                                       | New      | In Progress | Section 151 Assurance                | 5  |
| City Deal Review Outcomes - Follow-up        | New      | Planned     | Section 151 Assurance                | 5  |
| Sustainable Swansea                          | New      | Planned     | Transformation & Council Development | 5  |

**Corporate Priorities**

**Safeguarding** – Safeguarding People from Harm

**Education** – Improving Education and Skills

**Economy & Infrastructure** – Transforming our Economy and Infrastructure

**Poverty** – Tackling Poverty

**Resources & Biodiversity** – Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity.

**Transformation & Council Development** – Transformation and Future Council Development.