

Audit Title	Risk Rating	Status as at 30/09/2021	Corporate Priority	Days
<b>Level 1 – Cross Cutting Reviews – Council Governance &amp; Control</b>				
Partnerships	Med/High	Draft Issued	Cross Cutting	15
Corporate Governance	Med/High	Allocated	Cross Cutting	15
General Data Protection Regulations	Med/High	In Progress	Cross Cutting	10
Corporate Performance Management	Med	Planned	Cross Cutting	15
Local Government and Elections (Wales) Bill	New	Allocated	Cross Cutting	10
FOI / SAR/ EIR Review	New	Allocated	Cross Cutting	15
Wellbeing of Future Generations Act	New	Allocated	Cross Cutting	10
Achieving Better Together – Recovery & Refocus	New	In Progress	Cross Cutting	10
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery)	New	Planned	Cross Cutting	15
Assurance Framework	New	Allocated	Cross Cutting	20
<b>Level 2 – Fundamental Systems - Section 151 Officer Assurance</b>				
<b>Financial Services &amp; Service Centre</b>				
Employee Services	Med/High	Final Issued	Section 151 Assurance	30
Pensions Admin	Med/High	Final Issued	Section 151 Assurance	20
Teachers Pensions	Med	Final Issued	Section 151 Assurance	15
Accounts Receivable	High	Planned	Section 151 Assurance	35
Business Rates (NNDR)	Med	Planned	Section 151 Assurance	20
Pension Fund Investments	Med/High	Final Issued	Section 151 Assurance	7
Housing Rents	Med	Allocated	Section 151 Assurance	20
Accounts Payable	Med	Allocated	Section 151 Assurance	35
Housing & Council Tax Benefit	Med/High	Allocated	Section 151 Assurance	40
Capital Accounting	Med	Final Issued	Section 151 Assurance	25
<b>Level 3 – Service Level Audits – Other Assurance</b>				
<b>Education Planning &amp; Resources</b>				
Pentrehafod Comprehensive	Med	Final Issued	Education	10
Bishopston Comprehensive	Med	Final Issued	Education	10
Pontarddulais Comprehensive	Med	Final Issued	Education	10
Ysgol Gyfun Bryn Tawe	Med	Final Issued	Education	10
Ysgol Crug Glas	Med	Not Required	Education	4

School Funding & Information	Med/High	In Progress	Education	15
Catering & Cleaning HQ	Med	Planned	Education	10
SQuid School Income (thematic)	New	Allocated	Education	15
Primary School DBS (thematic)	New	Allocated	Education	15
<b>Achievement &amp; Partnership Service</b>				
School Support Team	Low	In Progress	Education	15
<b>Vulnerable Learner Service</b>				
Behavioural Support Unit	Med/Low	In Progress	Education, Safeguarding & Poverty	20
<b>Education Grants &amp; Other</b>				
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Regional Consortia School Improvement Grant	n/a	In Progress	Education, Safeguarding & Poverty	15
Pupil Deprivation Grant	n/a	In Progress	Education, Safeguarding & Poverty	15
<b>Child &amp; Family Services</b>				
Independent Agency Payments	High	Allocated	Safeguarding	10
Discretionary Payments	Med/High	Planned	Safeguarding	10
Nant-y-Felin Children's Home	Med	Allocated	Safeguarding	10
Grants & Contracts	Med/High	Allocated	Safeguarding	10
Adoption Allowances	Med/Low	Allocated	Safeguarding	10
Residential & Outdoor Centres	Med	Allocated	Safeguarding	10
Business Support Team – Child & Family	Med/Low	Allocated	Safeguarding	15
Swansea Children's Centre & Mayhill Family Centre	Med	Planned	Safeguarding	10
<b>Adult Services</b>				
Home Care	Med/High	Allocated	Safeguarding	10
Community Alarm Service	Med	Final Issued	Safeguarding	10
Integrated Community Equipment Service & Suresprung	High	Final Issued	Safeguarding	10
Suresprung Transitional Employer Support Grant	n/a	Final Issued	Safeguarding	5
CREST	Med	Allocated	Safeguarding	10
Supporting People Team – Regional Coordinator Grant	n/a	Final Issued	Safeguarding	3
Supporting People Grant	n/a	In Progress	Safeguarding	10
Enable Support for Independent Living Grant	n/a	In Progress	Safeguarding	10
<b>Commissioning</b>				

Early Intervention Services	Med	In Progress	Poverty	5
<b>Tackling Poverty</b>				
Welfare Rights Service	New	Final Issued	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	Final Issued	Economy & Infrastructure, Safeguarding	15
Day to Day Repairs / Maintenance Section	Med	Allocated	Economy & Infrastructure, Safeguarding	20
<b>Property Services</b>				
Energy Management	Med/Low	Not Required	Economy & Infrastructure	5
<b>Waste Management &amp; Parks</b>				
Domestic Refuse Collection	Med	In Progress	Economy & Infrastructure, Resource & Biodiversity	10
Parks Central Operations – Tree Services Unit	Low	Planned	Economy & Infrastructure, Resource & Biodiversity	5
Cleansing inc. Parks Central Operations, Litter & Beaches	New	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
<b>Highways &amp; Transportation</b>				
Concessionary Bus Fares	Med	Allocated	Economy & Infrastructure	5
Car Parks	Med/High	Final Issued	Economy & Infrastructure	20
Clydach Depot – Plant	Med	Final Issued	Economy & Infrastructure	10
CTU Fleet Hire / Spot Hire	Med	Final Issued	Economy & Infrastructure	10
Taxi Framework Contract	Med	In progress	Economy & Infrastructure	10
Live Kilometre Support Grant (G)	n/a	Final Issued	Economy & Infrastructure	5
<b>Housing &amp; Public Health</b>				
Morrison DHO	Med	Final Issued	Poverty, Safeguarding	15
Sketty DHO	Med/Low	Final Issued	Poverty, Safeguarding	15
Neighbourhood Support Unit inc. CCTV	Med	Final Issued	Poverty, Safeguarding	7
Affordable Housing	Med	Final Issued	Poverty, Safeguarding	10
Application Controls – Flare System	Med	Allocated	Poverty, Safeguarding	5
Building Regulations	Med	Final Issued	Poverty, Safeguarding	15
Taxi Licencing	Med/Low	In Progress	Poverty, Safeguarding	10
Rechargeable Works	Med	Allocated	Poverty, Safeguarding	15
<b>Cultural Services</b>				
Outdoor Leisure	Med	In Progress	Economy & Infrastructure	15

Sports Development	Med/Low	Final Issued	Economy & Infrastructure	10
Swansea Museum	Med/Low	Allocated	Economy & Infrastructure	10
Central Library	Med	Planned	Economy & Infrastructure	15
Archives	Med/Low	In Progress	Economy & Infrastructure	15
<b>Planning &amp; City Regeneration</b>				
Nature Conservation	Med	In Progress	Economy & Infrastructure, Resources & Biodiversity	10
Land Searches (was Land Charges)	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
<b>Communications &amp; Marketing</b>				
Civic Admin/Mayoral Service/Mansion House	Med	Allocated	Transformation & Council Development	10
Emergency Planning & Business Continuity	Med	Allocated	Transformation & Council Development	10
Risk Management	Med/High	Allocated	Transformation & Council Development	15
<b>Financial Services &amp; Service Centre</b>				
Cashiers Office – CCI Reconciliation	Med/High	Allocated	Section 151 Assurance	5
Write-Off Requests	n/a	In Progress	Section 151 Assurance	5
Cashiers Write-off's	n/a	Final Issued	Section 151 Assurance	5
Bank Reconciliations	Med	Final Issued	Section 151 Assurance	10
School Bank Reconciliations	Med	Final Issued	Section 151 Assurance	15
Grants Receivable	Med/High	In Progress	Section 151 Assurance	15
Leasing	Med	Allocated	Section 151 Assurance	10
Income Tax – Self Employed	Med	In Progress	Section 151 Assurance	5
Construction Industry Tax Scheme	Med	Final Issued	Section 151 Assurance	10
Residential Care	High	In Progress	Section 151 Assurance, Safeguarding	25
Debt Recovery – Financial Services & Legal Recovery	High	In Progress	Section 151 Assurance, Safeguarding	25
Learning Disability Recharges	Med	Final Issued	Section 151 Assurance, Safeguarding	10
Adult Family Placements	Med	In Progress	Section 151 Assurance, Safeguarding	10
Employee Vetting (DBS)	High	Planned	Section 151 Assurance, Safeguarding	10
Purchase Card Transactions Monthly Review	Med	In Progress	Section 151 Assurance	10
Compliance with CIPFA Financial Management Code	New	Planned	Section 151 Assurance	10
<b>Digital &amp; Transformation</b>				
ICT Administration inc. IT Assets	Med	Planned	Transformation & Future Council Development	15

Oracle Authorisation Limits	Med/High	Final Issued	Transformation & Future Council Development	10
<b>Commercial Services</b>				
Contracts Review – Education	New	Allocated	Section 151 Assurance	10
<b>Chief Transformation Officer Audits</b>				
Contact Centre – Client & Property Finance Payments	Med	Draft Issued	Transformation & Council Development	5
HR Policies	Low	Planned	Transformation & Council Development	10
Employment of Agency Staff	Med/High	Planned	Transformation & Council Development	10
Corporate Learning & Development Team	New	Allocated	Transformation & Council Development	5
Oracle Cloud	New	Planned	Transformation & Council Development	10
Post-Coronavirus pandemic review of Agile Working	New	Planned	Transformation & Council Development	10
Regional Broadband Grant	New	In Progress	Transformation & Council Development	5
<b>Contract Audits</b>				
Highways & Transportation – Business Case, Tendering & Evaluation	Med/High	Planned	Transformation & Council Development	15
CBS Control of Contracts	Med	Planned	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
Firewall Controls – Corporate & Education Network	Med	Planned	Transformation & Council Development	5
Internet Controls for Clients – Social Services	Med	In Progress	Transformation & Council Development	5
E-Commerce Controls	Med	In Progress	Transformation & Council Development	7
Disaster Recovery & Business Continuity	Med	Planned	Transformation & Council Development	10
Oracle Change Control	Med/High	Planned	Transformation & Council Development	5
Telephony System	Med	In Progress	Transformation & Council Development	5
Use of Idea - Data Matching NFI	n/a	In Progress	Section 151 Assurance	5
<b>Projects &amp; Special Investigations</b>				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
NFI	n/a	Allocated	Section 151 Assurance	10
Galileo Management System	n/a	In Progress	Section 151 Assurance	5
Annual Plan & Annual Report	n/a	In Progress	Section 151 Assurance	5

Annual Consultation Exercise	n/a	Allocated	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	In Progress	Section 151 Assurance	20
<b>Miscellaneous Audits</b>				
Western Bay Social Services Training Team	New	Draft Issued	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	Final Issued	Section 151 Assurance	5
Swansea Central Phase 1 Programme	New	Planned	Transformation & Council Development	5

**Cross Cutting Audits** – 135 days

**Section 151 Officer Assurance** – 515 days

**Corporate Priorities**

**Safeguarding** (Safeguarding People from Harm) – 433 days

**Education** (Improving Education and Skills) – 167 days

**Economy & Infrastructure** (Transforming our Economy and Infrastructure) – 230 days

**Poverty** (Tackling Poverty) – 160 days

**Resources & Biodiversity** (Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity) – 45 days

**Transformation & Council Development** (Transformation and Future Council Development) – 197 days