

Audit Title	Risk Rating	Status as at 31/03/2023	Corporate Priority	Days
Level 1 – Cross Cutting Reviews – Council Governance & Control				
Review of Departmental Gifts & Hospitality Registers	Med/High	Final Issued	Cross Cutting	15
Corporate Governance Review	Med/High	In Progress	Cross Cutting	15
Corporate Safeguarding	Med/Low	Final Issued	Cross Cutting	10
Achieving Better Together – Transformation (inc. workforce strategy and savings delivery)*	New	Deferred	Cross Cutting	15
Oracle Cloud / Fusion Project	New	Deferred	Cross Cutting	10
Regional Working	New	Deferred	Cross Cutting	10
Sickness & Overtime Review	New	Deferred	Cross Cutting	15
Risk Management	Med/High	Final Issued	Cross Cutting	15
Level 2 – Fundamental Systems - Section 151 Officer Assurance				
Financial Services & Service Centre – (1) Annual Audit, (2) 2-yearly Audit				
Employee Services (1)	Med/High	Final Issued	Section 151 Assurance	30
Accounts Receivable (1)	High	Final Issued	Section 151 Assurance	35
Business Rates (NDR) (1)	Med	Final Issued	Section 151 Assurance	20
Treasury Management Borrowing & Investments (2)	Med	Final Issued	Section 151 Assurance	18
Accounts Payable (1)	Med	Final Issued	Section 151 Assurance	35
Cash (2)	Med	Final Issued	Section 151 Assurance	30
Council Tax (2)	Med/High	Final Issued	Section 151 Assurance	30
Main Accounting System (2)	Med	Final Issued	Section 151 Assurance	20
Level 3 – Service Level Audits – Other Assurance				
Education Planning & Resources				
Cefn Hengoed Comprehensive School	Med	Final Issued	Education	10
Penyreheol Comprehensive School	Med	Final Issued	Education	10
Dylan Thomas Comprehensive School	Med	Final Issued	Education	10
Gowerton Comprehensive School	Med	Final Issued	Education	10
School Kitchens	Med/High	Deferred	Education	15
Catering & Cleaning HQ*	Med	In Progress	Education	10
Primary School Procurement – Thematic	Med	Final Issued	Education	15
Decarbonisation Programme	New	Final Issued	Education	10
Business Manager Remuneration Review	New	Final Issued	Education	10

Headteachers Remuneration above recommended Individual School Range Review	New	Final Issued	Education	10
IR35 Employment Status of Individuals - Thematic	New	Final Issued	Education	10
Vulnerable Learner Service				
Elective Home Education Provision	New	Final Issued	Education, Safeguarding & Poverty	10
EOTAS Value for Money Review	New	Deferred	Education, Safeguarding & Poverty	5
Education Grants & Other				
Schools Annual Report	n/a	Final Issued	Education, Safeguarding & Poverty	3
Regional Consortia School Improvement Grant	n/a	Final Issued	Education, Safeguarding & Poverty	15
Pupil Deprivation Grant	n/a	Final Issued	Education, Safeguarding & Poverty	15
Child & Family Services				
Emergency Duties Team	Med	Final Issued	Safeguarding	10
Adoption Allowances*	Med	Final Issued	Safeguarding	10
Western Bay Adoption Services	Med/Low	Final Issued	Safeguarding	15
Foster Swansea	Med	Final Issued	Safeguarding	10
Youth Provision in Early Help	Med	Deferred	Safeguarding	15
Residential & Outdoor Centres*	Med	Final Issued	Safeguarding	10
Adult Services				
Home Care*	Med/High	Deferred	Safeguarding	10
West Glamorgan Regional Partnership	New	Deferred	Safeguarding	5
All Wales Community Care Information System (WCCIS)	New	Final Issued	Safeguarding	10
Fforestfach Day Services	Low	Final Issued	Safeguarding	10
CREST*	Med	Final Issued	Safeguarding	10
Housing Support Grant	n/a	Final Issued	Safeguarding	10
Enable Support for Independent Living Grant	n/a	Final Issued	Safeguarding	10
Adult Services – Directorate Services				
Client Property & Finance	Med	Deferred	Safeguarding	15
Review of Transitional Placement Agreements	New	Deferred	Safeguarding	10
Tackling Poverty				
Local Area Coordinator Review	New	Deferred	Poverty	5
Building Services				

Heol y Gors – Stores, Admin & Finance, Oracle T&L*	Med/High	Deferred	Economy & Infrastructure, Safeguarding	20
Heol y Gors – Plant & Transport	Med/Low	In Progress	Economy & Infrastructure, Safeguarding	7
Day to Day Repairs / Maintenance Section*	Med	Deferred	Economy & Infrastructure, Safeguarding	20
Property Services				
Quadrant Rents & Estates Management (inc. Rentals)	Med	Final Issued	Economy & Infrastructure	10
Waste Management & Parks				
Waste Management	Med	Final Issued	Economy & Infrastructure, Resource & Biodiversity	10
Grounds Maintenance & Central Operations (inc. Burials, Stores and Workshops)	Med/Low	Final Issued	Economy & Infrastructure, Resource & Biodiversity	15
Cleansing Strategy	New	Deferred	Economy & Infrastructure, Resource & Biodiversity	5
Highways & Transportation				
Transport Support	Med	Final Issued	Economy & Infrastructure	10
Concessionary Bus Fares**	Med	Final Issued	Economy & Infrastructure	5
Civil Parking Enforcement	Med/Low	Final Issued	Economy & Infrastructure	20
Swansea City Bus Station	Med	Final Issued	Economy & Infrastructure	8
Advance Payment Code	Med	Deferred	Economy & Infrastructure	8
Streetworks	Med	Final Issued	Economy & Infrastructure	10
Fleet Maintenance **	Med/High	Final Issued	Economy & Infrastructure	15
Traffic Orders	High	Deferred	Economy & Infrastructure	10
Transport Depot	Med	Final Issued	Economy & Infrastructure	15
Live Kilometre Support Grant	n/a	Final Issued	Economy & Infrastructure	5
Housing & Public Health				
Housing Options	Med	Deferred	Poverty, Safeguarding	20
Leasehold Properties	Med	Deferred	Poverty, Safeguarding	15
Furnished Tenancy Scheme	Med/Low	Final Issued	Poverty, Safeguarding	12
Home Improvement Team	Med	Draft Issued	Poverty, Safeguarding	10
Application Controls – CX System (Flare Replacement)*	Med	Deferred	Poverty, Safeguarding	5
Burials & Cremations – Swansea Crematorium	Med	Final Issued	Poverty, Safeguarding	10
Trading Standards Division	Med/Low	In Progress	Poverty, Safeguarding	10
Licensing Division	High	Deferred	Poverty, Safeguarding	15
Rechargeable Works*	Med	Final Issued	Poverty, Safeguarding	15
Pollution Control Division	Med	Deferred	Poverty, Safeguarding	10
Welsh Housing Quality Standards	New	Deferred	Poverty, Safeguarding	10

Cultural Services				
Foreshore & Lettings (inc. Land Train & Caravans)	Med/High	Final Issued	Economy & Infrastructure	15
St Helen's Ground	Med/Low	Final Issued	Economy & Infrastructure	5
Spot Checks	Med	Final Issued	Economy & Infrastructure	5
Libraries Admin & Central Library*	Med	Final Issued	Economy & Infrastructure	15
Tourism Marketing	Med	Final Issued	Economy & Infrastructure	10
Planning & City Regeneration				
Swansea Market	Low	Deferred	Economy & Infrastructure, Resources & Biodiversity	20
Economic Development – Admin	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
External Funding Team	Med	Deferred	Economy & Infrastructure, Resources & Biodiversity	5
Planning Services – Administration & Fees	Med	Final Issued	Economy & Infrastructure, Resources & Biodiversity	15
Section 106 Agreements	Med/High	Deferred	Economy & Infrastructure, Resources & Biodiversity	10
Communications & Marketing				
Communications & Public Relations	Med	Final Issued	Transformation & Council Development	10
Corporate Marketing	Low	Deferred	Transformation & Council Development	7
Civic Admin/Mayoral Service/Mansion House*	Med	Final Issued	Transformation & Council Development	10
Design Print	Med	Final Issued	Transformation & Council Development	15
Emergency Planning & Business Continuity*	Med	Final Issued	Transformation & Council Development	10
Health & Safety (inc. Wellbeing)	Med/Low	Final Issued	Transformation & Council Development	10
Financial Services & Service Centre				
Cashiers Office – CCI Reconciliation	Med/High	Final Issued	Section 151 Assurance	5
Write-Off Requests	n/a	Final Issued	Section 151 Assurance	5
Cashiers Write-off's	n/a	Final Issued	Section 151 Assurance	5
Insurance	Med	Final Issued	Section 151 Assurance	10
Taxation – VAT	Med	Deferred	Section 151 Assurance	10
Pension Fund Other Transactions**	Med	Final Issued	Section 151 Assurance	10
AP Project Bank Accounts	New	Deferred	Section 151 Assurance	8
Non-Residential Care	Med/High	Deferred	Section 151 Assurance, Safeguarding	25
Purchase Card Transactions Monthly Review	Med	Final Issued	Section 151 Assurance	10
Purchase Card Administration	Med/Low	Deferred	Section 151 Assurance	15

Application Controls – Foster Care System	Med	Final Issued	Section 151 Assurance	5
Legal, Democratic Services & Business Intelligence				
Coroners Service	Med	Final Issued	Monitoring Officer Assurance	12
Election Expenses (Local Government Elections)	n/a	Deferred	Monitoring Officer Assurance	10
Legal Services Management of Risk	Med	Deferred	Monitoring Officer Assurance	10
Welsh Translation Unit	Med	Final Issued	Monitoring Officer Assurance	10
Commercial Services				
Review of Contracts in IT	New	Deferred	Section 151 Assurance	10
Review of invoices paid with retrospective order placed on Oracle	Med/High	Final Issued	Section 151 Assurance	10
Formal Contracts & Waivers	New	Deferred	Section 151 Assurance	10
Digital & Customer Services Audits				
Blue Badges	Med/Low	Final Issued	Transformation & Council Development	5
Corporate Complaints	Med	Deferred	Transformation & Council Development	8
Corporate Learning & Development Team*	New	Deferred	Transformation & Council Development	5
Management of Absence	Med/High	Deferred	Transformation & Council Development	10
Contract Audits				
Contracts Register	Med	Deferred	Transformation & Council Development	10
Computer Audits				
Internet Controls – Corporate Network	Med/Low	Deferred	Transformation & Council Development	10
Web Development	New	Deferred	Transformation & Council Development	10
Physical & Environmental Controls	Med	Deferred	Transformation & Council Development	10
Software Licences (FAST)	Med	Final Issued	Transformation & Council Development	5
Change Controls (CIPFA Matrix)	Med	Deferred	Transformation & Council Development	5
Change Control –Oracle*	Med	Deferred	Transformation & Council Development	5
Digital Strategy	Med	Deferred	Transformation & Council Development	10
Use of Idea - Data Matching NFI	n/a	Final Issued	Section 151 Assurance	5
Projects & Special Investigations				
Unpresented Cheques	n/a	Final Issued	Section 151 Assurance	5
Galileo Management System	n/a	Final Issued	Section 151 Assurance	10
Annual Plan & Annual Report	n/a	Final Issued	Section 151 Assurance	5

Annual Consultation Exercise	n/a	Final Issued	Section 151 Assurance	10
Fundamental Recommendation Tracker Exercise	n/a	Final Issued	Section 151 Assurance	5
Follow-ups	n/a	Final Issued	Section 151 Assurance	20
PSIAS External Inspection	n/a	Final Issued	Section 151 Assurance	10
Miscellaneous Audits				
Swansea Central Phase 1 Programme & City Deal Update	New	Deferred	Transformation & Council Development	10

* Audits deferred from 2021/22 plan.

** Audits issued as final shortly after year end

Cross Cutting Audits – 105 days

Section 151 Officer Assurance – 426 days

Corporate Priorities

Safeguarding (Safeguarding People from Harm) – 412 days

Education (Improving Education and Skills) – 168 days

Economy & Infrastructure (Transforming our Economy and Infrastructure) – 313 days

Poverty (Tackling Poverty) – 170 days

Resources & Biodiversity (Maintaining and Enhancing Swansea’s Natural Resources and Biodiversity) – 90 days

Transformation & Council Development (Transformation and Future Council Development) – 165 days