

Audit Title	Risk Rating	Status as at 31/12/19	Corporate Priority	Days	
Level 1 – Cross Cutting Reviews – Council Governance & Control					
Corporate Governance	Med/High	In Progress	Cross Cutting	20	
Delegated Decision Making	New	In Progress	Cross Cutting	10	
Workforce Planning	New	Deferred	Cross Cutting	10	
Ethics & Values	New	In Progress	Cross Cutting	15	
Safeguarding	Med/Low	In Progress	Cross Cutting	10	
Information Governance	New	In Progress	Cross Cutting	20	
Corporate Performance Management	New	Planned	Cross Cutting	15	
Added Value Work	n/a	Planned	Cross Cutting	10	
Level 2 – Fundamental Systems - Section 151 Officer Assu	ırance				
Financial Services & Service Centre				Ī	
Employee Services	Med/High	In Progress	Section 151 Assurance	30	
Pensions Administration	Med/High	In Progress	Section 151 Assurance	20	
Teachers Pensions	Med	Final Issued	Section 151 Assurance	15	
Accounts Receivable	Med	Planned	Section 151 Assurance	35	
NNDR	Med	In Progress	Section 151 Assurance	22	
Pension Fund Investments	Med/High	In Progress	Section 151 Assurance	7	
Housing Rents	Med	In Progress	Section 151 Assurance	20	
Housing & Council Tax Benefits	Med/High	In Progress	Section 151 Assurance	40	
Fixed Assets	Med	Planned	Section 151 Assurance	25	
Level 3 – Service Level Audits – Other Assurance					
Education Planning & Resources					
Bishopston Primary	Med	Final Issued	Education	3	
Cadle Primary	High	Final Issued	Education	3	
Clwyd Community Primary	Med	Final Issued	Education	3	
Crwys Primary	Med	Final Issued	Education	3	
Cwmglas Primary	Med	In Progress	Education	3	
Glyncollen Primary	Med	Final Issued	Education	3	
Grange Primary	Med	Final Issued	Education	3	
Gwyrosydd Primary	Med	Final Issued	Education	3	
Hafod Primary	Med	Final Issued	Education	3	
Morriston Primary	Med	Final Issued	Education	3	



Pen y Fro Primary	Med	Final Issued	Education	3
Pengelli Primary	Med	Final Issued	Education	3
Pennard Primary	Med	Final Issued	Education	3
Pentrechwyth Primary	Med/Low	Final Issued	Education	3
Penyrheol Primary	Med	Final Issued	Education	3
Pondarddulais Primary	Med	Final Issued	Education	3
Seaview Community Primary	Med	Draft Issued	Education	3
St Thomas Primary	Med/Low	Draft Issued	Education	3
Waun Wen Primary	Med	Final Issued	Education	3
Waunarlwydd Primary	Med	Final Issued	Education	3
YGG Felindre	Med	Final Issued	Education	3
YGG Pontybrenin	Med	Final Issued	Education	3
St David's RC Primary	Med	Final Issued	Education	3
St Joseph's Cathedral Primary	Med	Final Issued	Education	3
St Joseph's Catholic Primary	Med	Final Issued	Education	3
Bishop Vaughan Comprehensive	Med	Final Issued	Education	10
Morriston Comprehensive	Med	Final Issued	Education	10
Olchfa Comprehensive	Med	Final Issued	Education	10
Ysgol Gyfun Gwyr	Med	Final Issued	Education	10
Penybryn Special School	Med/High	Final Issued	Education	4
Achievement & Partnership Service				
Curriculum Support Unit inc. Welsh Service	New	Final Issued	Education	5
School Support Unit	Low	Final Issued	Education	5
Vulnerable Learner Service				
Swansea Pupil Referral Units	Med	Final Issued	Education, Safeguarding & Poverty	15
Education Grants & Other				
Additional Support for Disadvantaged Learners (G)	n/a	Final Issued	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				
Discretionary Payments	Med/High	Final Issued	Safeguarding	10
Emergency Duties Team	Low	Final Issued	Safeguarding	10



Supporting People (G) n/a Final Issued Safeguarding 10  Suresprung Supported Employees Claim Process (G) n/a In Progress Safeguarding 5  Flexible Support Service Med Final Issued Safeguarding 10  Frorestfach Day Service Low Final Issued Safeguarding 10  Forestfach Day Service Survice Itlight In Progress Safeguarding 10  Social Services Directorate Services  Client Property & Finance High In Progress Safeguarding 15  Business Support Team - Adult Services New Final Issued Safeguarding 10  Application Controls - Paris System Med In Progress Safeguarding 5  Poverty & Prevention  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 Final Issued Poverty 10  Elifelong Learning Service Med Final Issued Poverty 10  Building Service Med Final Issued Poverty 10  Building Service Med Final Issued Poverty 10  Safeguarding 7  Property Service Med Final Issued Poverty 10  Survice Support Med/Low Final Issued Poverty 10  Building Service Med Final Issued Poverty 10  Safeguarding 7  Froperty Service Poverty 10  Safeguarding 7  Froperty Service Med Final Issued Poverty 10  Safeguarding 7  Froperty Service Med Final Issued Economy & Infrastructure 10  Waste Management & Quadrant Rents Med Final Issued Economy & Infrastructure 10  Waste Management & Parks  Waste Management Med Final Issued Economy & Infrastructure 10  Highways & Transportation Economy & Infrastructure 10  Transport Support Low Not Required Economy & Infrastructure 15  Transport Support Med Final Issued Economy & Infrastructure 5  Service Support Low Not Required Economy & Infrastructure 5  Swansea Med In Progress Economy & Infrastructure 5  Swansea City Bus Station Med Final Issued Economy & Infrastructure 8  Advance City Bus Station Med Final Issued Economy & Infrastructure 15  Final Issued Economy & Infrastruct	Use of Taxis Authorisation	Med/Low	Final Issued	Safeguarding	10
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Waste Management     Med     Final Issued     Economy & Infrastructure     10       Street Cleaning     Med     Final Issued     Economy & Infrastructure     10       Highways & Transportation       Service Support     Low     Not Required     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     Final Issued     Economy & Infrastructure     8       CTU Fleet Maintenance     Med/High     Final Issued     Economy & Infrastructure     15       CTU Fuel     Med     Final Issued     Economy & Infrastructure     10       CTU Stores     Med     In Progress     Economy & Infrastructure     8	Estates Management & Quadrant Rents	Med	Final Issued	Economy & Infrastructure	10
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CTU Stores Med In Progress Economy & Infrastructure 8	CTU Fleet Maintenance	Med/High	Final Issued	Economy & Infrastructure	15
CTO Stores Ivieu - Economy & minastructure o	CTU Fuel	Med	Final Issued	Economy & Infrastructure	10
Transport Depot Med Final Issued Economy & Infrastructure 15	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
Housing & Public Health				
Penlan District Housing Office	Med	Final Issued	Poverty, Safeguarding	15
Gorseinon District Housing Office	Med	Final Issued	Poverty, Safeguarding	10
Furniture Store & Tenancy Scheme	Low	Final Issued	Poverty, Safeguarding	12
Tenancy Support Unit & SPG	Low	Final Issued	Poverty, Safeguarding	10
Housing Partnerships	Med	Final Issued	Poverty, Safeguarding	10
Food & Safety Division	Low	Final Issued	Poverty, Safeguarding	10
Pollution Control Division	Med/Low	Final Issued	Poverty, Safeguarding	10
Cultural Services				
Community Parks Development & Community Buildings	Low	In Progress	Economy & Infrastructure	15
Foreshores & Lettings: Sports Permits	Low	In Progress	Economy & Infrastructure	10
Active Swansea	Med	Not Required	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	Draft Issued	Economy & Infrastructure	5
Literature Officer	Low	Deferred	Economy & Infrastructure	5
Libraries Administration	Med/Low	Final Issued	Economy & Infrastructure	10
Special Events	Med	Final Issued	Economy & Infrastructure	15
Passport to Leisure	Low	Deferred	Economy & Infrastructure	10
Tourism Marketing	Med/Low	Final Issued	Economy & Infrastructure	10
Planning & City Regeneration				
Sustainable Development	Low	Not Required	Economy & Infrastructure, Resources & Biodiversity	8
Economic Development Administration	Med/Low	Final Issued	Economy & Infrastructure, Resources & Biodiversity	10
External Funding Team	Med/High	In Progress	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
Communications & Marketing				
Communications & Public Relations	Med	Final Issued	Transformation & Council Development	10
Design Print	Med	Final Issued	Transformation & Council  Development	15
Financial Services & Service Centre				
Cashiers Office	Med/High	In Progress	Section 151 Assurance	10
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Write-Off Requests	n/a	In Progress	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	Final Issued	Section 151 Assurance	10
Pension Fund Other Transactions	Med	Draft Issued	Section 151 Assurance	10
Trusts & Charities	Med	Final Issued	Section 151 Assurance	10
Budget Strategy & Management	New	In Progress	Section 151 Assurance	10
Direct Payments - Adult and Child & Family	Med	Deferred	Section 151 Assurance	15
Welcome Break	Low	Final Issued	Section 151 Assurance	5
Debt Recovery	High	Planned	Section 151 Assurance	20
Employee Vetting (DBS)	High	Final Issued	Section 151 Assurance	10
Purchase Cards	Med	Final Issued	Section 151 Assurance	15
Digital & Transformation				
Information Management	Med	In Progress	Transformation & Council Development	10
Legal, Democratic Services & Business Intelligence			·	
Coroners Service	Med	Final Issued	Monitoring Officer Assurance	12
Debt Recovery Process	High	In Progress	Monitoring Officer Assurance	10
Review of Legal Files	New	Final Issued	Monitoring Officer Assurance	10
Commercial Services				
Cultural Services Contracts Review	New	In Progress	Section 151 Assurance	10
Chief Transformation Officer Audits				
Corporate Complaints	Med	Draft Issued	Transformation & Council Development	8
Welsh Translation Unit	Med	Final Issued	Transformation & Council Development	10
CRM System Application Controls	New	In Progress	Transformation & Council Development	10
Risk Management	Med/High	Final Issued	Section 151 Assurance	10
Contract Audits				
Legal Pre-Contract Acceptance of Tenders	Med	In Progress	Monitoring Officer Assurance	20
		<del>!</del>	Transformation & Council	
Procurement Contract Register	Med	In Progress	Development	10
Procurement Contract Register  Final Accounts	Med n/a	In Progress In Progress		3
			Development	
Final Accounts	n/a	In Progress	Development Section 151 Assurance	3



Network Controls - Corporate & Education	Med	Not Required	Transformation & Council Development	10
Internet Controls - Education Network	Med/Low	In Progress	Transformation & Council Development	10
Libraries Public Access Network	Med/Low	Not Required	Transformation & Council Development	5
E-Commerce Controls - Web Development	New	Deferred	Transformation & Council Development	10
Physical & Environmental Controls and VSE	Med/High	In Progress	Transformation & Council Development	10
Computer Operations	Med/High	Not Required	Transformation & Council Development	5
Change Control	Med	In Progress	Transformation & Council Development	5
Change Control - Oracle	Med/High	In Progress	Transformation & Council Development	5
Use of Idea - Data Extraction	n/a	In Progress	Section 151 Assurance	5
Use of Idea - Data Matching NFI 2018	n/a	In Progress	Section 151 Assurance	5
Projects & Special Investigations				
Unpresented Cheques	n/a	In Progress	Section 151 Assurance	5
NFI 2018/19	n/a	In Progress	Section 151 Assurance	20
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
Purchase Cards - Transaction Sample Reviews	n/a	In Progress	Section 151 Assurance	10
Petty Cash Investigations	n/a	In Progress	Section 151 Assurance	3
Miscellaneous Audits				
sQuid System Review	New	Draft Issued	Section 151 Assurance	10
Brexit	New	Final Issued	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	In Progress	Section 151 Assurance	5
Sustainable Swansea	New	In Progress	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.