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 Assurance				
Financial Services & Service Centre				
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

Use of Taxis Authorisation	Med/Low	Final Issued	Safeguarding	10
Adult Services				
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
Fforestfach Day Service	Low	Final Issued	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
Lifelong Learning Service	Med	Final Issued	Poverty	10
Building Services				
Heol y Gors - Plant & Transport	Med	Final Issued	Economy & Infrastructure, Safeguarding	7
Property Services				
Estates Management & Quadrant Rents	Med	Final Issued	Economy & Infrastructure	10
Waste Management & Parks				
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
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

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
Procurement Contract Register	Med	In Progress	Transformation & Council Development	10
Final Accounts	n/a	In Progress	Section 151 Assurance	3
Appraisal of Contractors for Tenders	n/a	In Progress	Section 151 Assurance	5
Computer Audits				
PC Controls	Med/High	Not Required	Transformation & Council Development	5

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.