

Audit Title	Risk Rating	Status as at 31/03/20	Corporate Priority	Days
<b>Level 1 – Cross Cutting Reviews – Council Governance &amp; Control</b>				
Corporate Governance	Med/High	Draft Issued	Cross Cutting	20
Delegated Decision Making	New	Deferred	Cross Cutting	10
Workforce Planning	New	Deferred	Cross Cutting	10
Ethics & Values	Low	Final Issued	Cross Cutting	15
Safeguarding	Med/Low	Final Issued	Cross Cutting	10
Information Governance	Med	Final Issued	Cross Cutting	20
Corporate Performance Management	New	In Progress	Cross Cutting	15
Added Value Work	n/a	Final Issued	Cross Cutting	10
<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 Administration	Med/High	Final Issued	Section 151 Assurance	20
Teachers Pensions	Med	Final Issued	Section 151 Assurance	15
Accounts Receivable	Med	Draft Issued	Section 151 Assurance	35
NNDR	Med	Draft Issued	Section 151 Assurance	22
Pension Fund Investments	Med/High	Final Issued	Section 151 Assurance	7
Housing Rents	Med	Final Issued	Section 151 Assurance	20
Housing & Council Tax Benefits	Med/High	Draft Issued	Section 151 Assurance	40
Fixed Assets	Med	In Progress	Section 151 Assurance	25
<b>Level 3 – Service Level Audits – Other Assurance</b>				
<b>Education Planning &amp; Resources</b>				
Bishopston Primary	Med	Final Issued	Education	3
Cadle Primary	Med	Final Issued	Education	3
Clwyd Community Primary	Med	Final Issued	Education	3
Crwys Primary	Med	Final Issued	Education	3
Cwmglas Primary	Med	Final Issued	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
Morrison 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	Final Issued	Education	3
Penyrheol Primary	Med	Final Issued	Education	3
Pondarddulais Primary	Med	Final Issued	Education	3
Seaview Community Primary	Med	Final Issued	Education	3
St Thomas Primary	Med	Final 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	High	Final Issued	Education	10
Morryston Comprehensive	Med/High	Final Issued	Education	10
Olchfa Comprehensive	Med/High	Final Issued	Education	10
Ysgol Gyfun Gwyr	Med/High	Final Issued	Education	10
Penybryn Special School	Med	Final Issued	Education	4
<b>Achievement &amp; Partnership Service</b>				
Curriculum Support Unit inc. Welsh Service	Low	Final Issued	Education	5
School Support Unit	Med	Final Issued	Education	5
<b>Vulnerable Learner Service</b>				
Swansea Pupil Referral Units	Med	Final Issued	Education, Safeguarding & Poverty	15
<b>Education Grants &amp; Other</b>				
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
<b>Child &amp; Family Services</b>				
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
<b>Adult Services</b>				

Supporting People (G)	n/a	Final Issued	Safeguarding	10
Suresprung Supported Employees Claim Process (G)	n/a	Final Issued	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	Draft Issued	Safeguarding	15
Business Support Team - Adult Services	Med	Final Issued	Safeguarding	10
Application Controls - Paris System	Med	Draft Issued	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	Final Issued	Poverty	10
Lifelong Learning Service	Med	Final Issued	Poverty	10
<b>Building Services</b>				
Heol y Gors - Plant & Transport	Med	Final Issued	Economy & Infrastructure, 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	Final Issued	Economy & Infrastructure	10
Street Cleaning	Med	Final Issued	Economy & Infrastructure	10
<b>Highways &amp; Transportation</b>				
Service Support	Low	Not Required	Economy & Infrastructure	15
Transport Support	Med	Final Issued	Economy & Infrastructure	10
Concessionary Bus Fares	Med	Final Issued	Economy & Infrastructure	5
Recovery of Abandoned Vehicles	Med	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	Final Issued	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>				

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
<b>Cultural Services</b>				
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
<b>Planning &amp; City Regeneration</b>				
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	Final Issued	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	Final Issued	Transformation & Council Development	10
Design Print	Med	Final Issued	Transformation & Council Development	15
<b>Financial Services &amp; Service Centre</b>				
Cashiers Office	Med/High	Final Issued	Section 151 Assurance	10
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	Final Issued	Section 151 Assurance	10
Pension Fund Other Transactions	Med	Final 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	Med/High	Final Issued	Section 151 Assurance	5
Debt Recovery	High	Deferred	Section 151 Assurance	20
Employee Vetting (DBS)	Med	Final Issued	Section 151 Assurance	10
Purchase Cards	Low/Med	Final Issued	Section 151 Assurance	15
<b>Digital &amp; Transformation</b>				
Information Management	Med	Not Required	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	In Progress	Monitoring Officer Assurance	10
Review of Legal Files	Med	Final Issued	Monitoring Officer Assurance	10
<b>Commercial Services</b>				
Cultural Services Contracts Review	Med/High	Final Issued	Section 151 Assurance	10
<b>Chief Transformation Officer Audits</b>				
Corporate Complaints	Med	Final 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
<b>Contract Audits</b>				
Legal Pre-Contract Acceptance of Tenders	Med	Draft Issued	Monitoring Officer Assurance	20
Procurement Contract Register	Med	Draft Issued	Transformation & Council Development	10
Final Accounts	n/a	Final Issued	Section 151 Assurance	3
Appraisal of Contractors for Tenders	n/a	Final Issued	Section 151 Assurance	5
<b>Computer Audits</b>				
PC Controls	n/a	Not Required	Transformation & Council Development	5
Network Controls - Corporate & Education	n/a	Not Required	Transformation & Council Development	10
Internet Controls - Education Network	Med/Low	Deferred	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	Final Issued	Transformation & Council Development	10
Computer Operations	Med/High	Not Required	Transformation & Council Development	5
Change Control	Med	Final Issued	Transformation & Council Development	5
Change Control - Oracle	Med/High	Deferred	Transformation & Council Development	5
Use of Idea - Data Extraction	n/a	Final Issued	Section 151 Assurance	5
Use of Idea - Data Matching NFI 2018	n/a	Final Issued	Section 151 Assurance	5
<b>Projects &amp; Special Investigations</b>				
Unpresented Cheques	n/a	Final Issued	Section 151 Assurance	5
NFI 2018/19	n/a	Final Issued	Section 151 Assurance	20
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
Health & Safety Group	n/a	Final Issued	Section 151 Assurance	3
Recommendation Tracker Exercise	n/a	Final Issued	Section 151 Assurance	5
Follow-ups	n/a	Final Issued	Section 151 Assurance	20
Purchase Cards - Transaction Sample Reviews	n/a	Final Issued	Section 151 Assurance	10
Petty Cash Investigations	n/a	Final Issued	Section 151 Assurance	3
<b>Miscellaneous Audits</b>				
sQuid System Review	Med	Final Issued	Section 151 Assurance	10
Brexit	Med	Final Issued	Section 151 Assurance	5
City Deal Review Outcomes - Follow-up	New	In Progress	Section 151 Assurance	5
Sustainable Swansea	New	Deferred	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.