

AUDITS FINALISED 2020/21

Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Quarter 1 (18 Audits)						
Social Services Directorate Services	Paris System*	06/04/20	High	0	0	0
Communications & Marketing	Corporate Management Team Support	07/04/20	High	0	0	0
Highways & Transportation	Swansea Marina	11/05/20	High	2	2	0
Housing & Public Health	Sheltered Housing Service	14/05/20	High	6	6	0
Contract Audits	Contracts Review (Education & IT)*	01/06/20	High	0	0	0
Planning & City Regeneration	Planning - AONB	02/06/20	High	3	3	0
Contract Audits	Acceptance of Tenders*	02/06/20	High	4	4	0
Social Services Directorate Services	Client Property & Finance*	09/06/20	High	3	3	0
Housing & Public Health	Estate Caretakers	09/06/20	High	5	5	0
Fundamental Audits	Housing & Council Tax Benefit 2019/20*	17/06/20	High	13	13	0
Housing & Public Health	Rent & Arrears Team	18/06/20	High	4	4	0
Cross Cutting Reviews	Corporate Governance Review*	22/06/20	High	3	3	0
Achievement & Partnership Service	Challenge Advisors	05/05/20	Substantial	16	16	0
Fundamental Audits	NNDR 2019/20*	21/05/20	Substantial	6	6	0
Child & Family Services	Leaving Care Act	16/06/20	Substantial	8	8	0
Legal, Democratic Services & Business Intel.	Debt Recovery Process - Legal*	17/06/20	Substantial	10	10	0
Contract Audits	Contract Register*	19/06/20	Substantial	4	4	0
Fundamental Audits	Accounts Receivable 2019/20*	27/05/20	Moderate	18	18	0
Quarter 2 (14 Audits)						
Financial Services & Service Centre	Direct Payments - Adult and Child & Family	03/07/20	High	3	3	0
Fundamental Audits	Capital Accounting 2019/20*	23/07/20	High	0	0	0
Education Planning & Resources	Capital Planning and Delivery Unit	27/07/20	High	1	1	0
Legal, Democratic Services & Business Intel.	Councillors Expenses & Allowances	30/07/20	High	3	3	0
Adult Services	Self Assessment Checklists - Adult Services	05/08/20	High	17	17	0
Fundamental Audits	Main Accounting System 2020/21	05/08/20	High	1	1	0
Waste Management & Parks	Specialist Park Services	05/08/20	High	3	3	0
Waste Management & Parks	Knotweed Service	03/09/20	High	4	4	0
Waste Management & Parks	Parks Support & Tree Services	15/09/20	High	5	5	0
Fundamental Audits	Treasury Management 2020/21	18/09/20	High	3	3	0
Education Planning & Resources	Oystermout Primary School	15/07/20	Substantial	9	9	0
Adult Services	Victoria Park Kiosk	10/09/20	Substantial	4	4	0
Education Planning & Resources	YGG Tirdeunaw	18/09/20	Substantial	10	10	0

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Education Planning & Resources	Primary School Procurement Exercise	24/09/20	Substantial	4	4	0
Quarter 3 (16 Audits)						
Highways & Transportation	Clydach Finance & Admin	06/10/20	High	5	5	0
Cross Cutting Reviews	Corporate Performance Management*	20/10/20	High	4	4	0
Contract Audits	Tender & Evaluation of Building Contracts	20/10/20	High	0	0	0
Financial Services & Service Centre	Officers Expenses	03/11/20	High	7	7	0
Computer Audits	Oracle Change Control*	09/11/20	High	0	0	0
Fundamental Audits	Council Tax 2020/21	23/11/20	High	2	2	0
Poverty & Prevention	Partnerships, Performance & Commissioning	30/11/20	High	2	2	0
Housing & Public Health	Blaenymaes District Housing Office	03/12/20	High	3	3	0
Economic Regeneration & Planning	Planning Enforcement	11/12/20	High	2	2	0
Education Planning & Resources	Parkland Primary School	21/12/20	High	4	4	0
Communications & Marketing	Risk Management System	06/10/20	Substantial	3	3	0
Highways & Transportation	Highways Trading Account	12/10/20	Substantial	2	2	0
Waste Management & Parks	Trade Refuse (inc. Skip Hire)	14/10/20	Substantial	13	13	0
Financial Services & Service Centre	Assisted Car Purchase Scheme	16/10/20	Substantial	5	5	0
Cultural Services	Brangwyn Hall	20/10/20	Substantial	12	12	0
Housing & Public Health	Public Protection - Administration Division	12/11/20	Substantial	9	9	0
Quarter 4 (25 Audits)						
Housing & Public Health	Townhill DHO	11/01/21	High	7	7	0
Cultural Services	Branch Libraries	14/01/21	High	4	4	0
Financial Services & Service Centre	PCI - Data Security Standards	18/01/21	High	1	1	0
Financial Services & Service Centre	Passport to Leisure	09/02/21	High	6	6	0
Legal, Dem. Services and Business Intelligence	Electoral Services**	24/02/21	High	0	0	0
Legal, Dem. Services and Business Intelligence	Scrutiny	11/03/21	High	0	0	0
Communications & Marketing	Risk Management (Resources Directorate)	03/02/21	High	3	3	0
Fundamental Audits	Cash 2020/21	04/02/21	High	1	1	0
Housing & Public Health	Homes Preparation Unit	29/03/21	High	4	4	0
Legal, Dem. Services and Business Intelligence	Delegated Decision Making*	31/03/21	High	5	5	0
Property Services	Facilities Management	15/01/21	Substantial	9	9	0
Cross Cutting Reviews	Whistleblowing	25/01/21	Substantial	16	16	0
Education Planning & Resources	Casllwchwr Primary	01/02/21	Substantial	10	10	0
Planning & City Regeneration	Development & Physical Regeneration	03/02/21	Substantial	6	6	0
Education Planning & Resources	Llanrhydian Primary	04/02/21	Substantial	18	18	0
Miscellaneous Audits	Swansea Bay Port Health Authority	25/02/21	Substantial	8	7	1
Education Planning & Resources	Cwmrhydyceirw Primary	01/03/21	Substantial	12	12	0

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Education Planning & Resources	Secondary Schools Procurement Review	05/03/21	Substantial	5	5	0
Education Planning & Resources	Plasmarl Primary School	22/03/21	Substantial	10	10	0
Child & Family Services	Youth Offending Service	25/03/21	Substantial	11	11	0
Education Planning & Resources	Primary School Unofficial Fund Review	29/03/21	Substantial	9	9	0
Commercial Services	Retrospective Oracle Orders	30/03/21	Substantial	3	3	0
Chief Transformation Officer	Management of Absence	27/01/21	Moderate	19	19	0
Cultural Services	Grand Theatre	01/02/21	Moderate	25	25	0
Fundamental Audits	Accounts Receivable 2020/21	15/03/21	Moderate	17	17	0
				Total	454	453
						1

Audits Completed to draft stage by 31/03/21 finalised shortly after year end: (2 Audits)						
Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Fundamental Audits	Accounts Payable 2020/21 (draft issued 29/03/21)	21/04/21	Substantial	13	13	0
Cross Cutting Audits	Corporate Governance (draft issued 31/03/21)	16/04/21	Substantial	6	6	0

2020/21 Audit Ratings Summary		
Total Number of Audits Finalised	75	%
High Assurance	42	56%
Substantial Assurance	29	39%
Moderate	4	5%
Limited	0	0%