

AUDITS FINALISED 2021/22

Head of Service	Audit Title	Date Finalised	Assurance Level	Recommendations		
				Made	Agreed	Not Agreed
Quarter 1 (21 Audits)						
Financial Services & Service Centre	Schools Bank Reconciliation	06/04/21	High	2	2	0
Housing & Public Health	Affordable Housing	13/04/21	High	0	0	0
Tackling Poverty	Welfare Rights Service	21/04/21	High	3	3	0
Financial Services & Service Centre	Bank Reconciliation	21/04/21	High	0	0	0
Financial Services & Service Centre	Pension Fund Investments 2021/22	28/06/21	High	1	1	0
Financial Services & Service Centre	Teachers Pensions 2021/22	13/05/21	High	1	1	0
Cultural Services	Sports Development	18/05/21	High	4	4	0
Housing & Public Health	Building Control	18/05/21	High	6	6	0
Financial Services & Service Centre	Pension Fund Administration	01/06/21	High	1	1	0
Financial Services & Service Centre	Construction Industry Tax Scheme	03/06/21	High	2	2	0
Digital & Transformation	Oracle Authorisation Limits	15/06/21	High	1	1	0
Planning & City Regeneration	Land Searches	17/06/21	High	3	3	0
Housing & Public Health	Neighbourhood Support Unit	06/04/21	Substantial	7	7	0
Vulnerable Learner Service	Additional Learning Needs Unit (ALNU)*	08/04/21	Substantial	10	10	0
Council Governance and Control	Corporate Governance Review 2020/21*	16/04/21	Substantial	6	6	0
Financial Services & Service Centre	Accounts Payable 2020/21*	21/04/21	Substantial	13	13	0
Highways & Transportation	Streetworks**	26/04/21	Substantial	7	7	0
Legal, Dem. Services and Business Intelligence	Councillors Code of Conduct*	04/05/21	Substantial	2	2	0
Housing & Public Health	Sketty DHO	02/06/21	Substantial	10	10	0
Education Planning & Resources	Tre Uchaf Primary School*	16/06/21	Substantial	11	11	0
Highways & Transportation	Car Parks	24/06/21	Substantial	19	19	0
Quarter 2 (19 Audits)						
Building Services	Heol y Gors Depot - Estimating	17/08/21	High	0	0	0
Education Planning & Resources	Bishopston Comprehensive School	23/08/21	High	7	7	0
Education Planning & Resources	Bryn Tawe Comprehensive School	06/09/21	High	2	2	0
Education Planning & Resources	Pentrefafod Comprehensive School	13/09/21	High	9	9	0
Financial Services & Service Centre	Capital Accounting 2021/22	21/09/21	High	0	0	0
Planning & City Regeneration	Rights of Way (Countryside Access Team)*	29/09/21	High	5	5	0
Highways & Transportation	Highways & Transportation - Tender and Evaluation*	15/07/21	Substantial	6	6	0
Education Planning & Resources	Pontarddulais Comprehensive School	23/08/21	Substantial	11	11	0
Highways & Transportation	Fleet Hire - Spot Hire	31/08/21	Substantial	7	7	0
Cultural Services	Glyn Vivian Art Gallery*	31/08/21	Substantial	11	11	0
Highways & Transportation	Clydach - Plant Hire	03/09/21	Substantial	7	7	0

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Financial Services & Service Centre	Employee Services (Payroll) 2021/22	09/09/21	Substantial	11	11	0
Housing & Public Health	East Area District Housing Office (Morrison DHO)	10/09/21	Substantial	18	18	0
Adult Services	Learning Disability Recharges*	16/09/21	Substantial	7	7	0
Waste Management & Parks	Cleansing Operations	23/09/21	Substantial	7	7	0
Partnership & Achievement Service	Music Service*	30/09/21	Substantial	3	3	0
Planning & City Regeneration	Swansea Mobility Hire*	30/09/21	Substantial	4	4	0
Adult Services	Community Alarms Service	20/09/21	Moderate	9	9	0
Adult Services	Community Equipment Service	20/09/21	Moderate	17	17	0
Quarter 3 (20 Audits)						
Cross Cutting Reviews	Partnerships - Overview & Governance	06/10/21	High	2	2	0
Financial Services & Service Centre	Adult Family Placements	18/10/21	High	2	2	0
Housing & Public Health	Taxi Licensing	22/10/21	High	4	4	0
Highways & Transportation	Home to School Transport*	09/12/21	High	4	4	0
Financial Services & Service Centre	Residential Care	07/10/21	High	7	7	0
Computer Audits	Telephony System	20/10/21	High	0	0	0
Cross Cutting Reviews	Achieving Better Together - Recovery & Refocus	22/10/21	High	0	0	0
Financial Services & Service Centre	Income Tax - Self Employed and Miscellaneous	29/10/21	High	4	4	0
Education Planning & Resources	School Funding & Information	15/11/21	High	2	2	0
Miscellaneous Audits	Staff Development and Training Section	12/10/21	Substantial	7	7	0
Education Planning & Resources	Hafod Primary School	19/10/21	Substantial	11	11	0
Vulnerable Learner Service	Behaviour Support Team	19/10/21	Substantial	11	11	0
Adult Services	Supporting People Team*	22/10/21	Substantial	7	7	0
Chief Transformation Officer	Contact Centre - Client & Property Finance Payments	15/11/21	Substantial	6	6	0
Cultural Services	Outdoor Leisure	15/11/21	Substantial	3	3	0
Highways & Transportation	Taxi Framework Contract - School Transport	25/11/21	Substantial	7	7	0
Commissioning	Early Years & Play	03/12/21	Substantial	4	4	0
Waste Management & Parks	Domestic Refuse Collection	03/12/21	Substantial	8	8	0
Achievement & Partnership Services	School Support Team	06/12/21	Substantial	7	7	0
Cultural Services	Archives	09/12/21	Substantial	9	9	0
Quarter 4 (30 Audits)						
Computer Audits	Internet Controls - Social Services	17/01/22	High	7	7	0
Highways & Transportation	Concessionary Bus Fares 2021/22	19/01/22	High	0	0	0
Chief Transformation Officer Audits	HR Policies	19/01/22	High	3	3	0
Fundamental Systems	Housing & Council Tax Benefit 2021/22	20/01/22	High	8	8	0
Cross Cutting Reviews	Wellbeing of Future Generations Act	02/02/22	High	1	1	0

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Financcil Services & Service Centre	Capital Leasing	15/02/22	High	3	3	0
Cross Cutting Reviews	Corporate Performance Management	21/02/22	High	2	2	0
Fundamental Systems	Housing Rents 2021/22	15/03/22	High	6	6	0
Waste Management & Parks	Waste Enforcement*	16/03/22	High	5	5	0
Computer Audits	File Controls	03/03/22	High	0	0	0
Financial Services & Service Centre	Grants Receivable	31/03/22	High	3	3	0
Cultural Services	Swansea Museum	19/01/22	Substantial	9	9	0
Cross Cutting Reviews	Information Governance (GDPR)	02/02/22	Substantial	19	15	4
Education Planning & Resources	Primary Schools DBS (Thematic)	03/02/22	Substantial	3	3	0
Child & Family Services	Business Support Team - Child & Family	08/02/22	Substantial	2	2	0
Computer Audits	E-Commerce Controls	14/02/22	Substantial	5	5	0
Cross Cutting Reviews	Assurance Framework	17/02/22	Substantial	1	1	0
Contract Audits	Social Services - Social Care Contracts*	21/02/22	Substantial	2	2	0
Child & Family Services	Independent Agency Placements	28/02/22	Substantial	3	3	0
Financial Services & Service Centre	Compliance with Cipfa FM Code	04/03/22	Substantial	2	2	0
Housing & Public Health	Housing Division Pests & Animal Control*	08/03/22	Substantial	14	14	0
Fundamental Systems	Accounts Payable 2021/22	09/03/22	Substantial	12	12	0
Fundamental Systems	Business Rates (NDR) 2021/22	16/03/22	Substantial	8	8	0
Computer Audits	Disaster Recovery & Business Continuity	21/03/22	Substantial	10	10	0
Communications & Marketing	Risk Management (People Directorate)	24/03/22	Substantial	1	1	0
Additional Review / Added Value	Pen y Bryn Special School ***	29/03/22	Substantial	17	17	0
Education Planning & Resources	sQuid School Meal Income Thematic Review	30/03/22	Substantial	14	14	0
Additional Review / Added Value	Corporate Risk Register Review ***	30/03/22	Substantial	3	3	0
Cross Cutting Reviews	FOI/SAR/EIR Review	15/03/22	Moderate	13	13	0
Fundamental Systems	Accounts Receivable 2021/22	31/03/22	Moderate	12	12	0
				Total	543	539
						4

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2021/22 Audit Ratings Summary		
Total Number of Audits Finalised	90	%
High Assurance	38	42%
Substantial Assurance	48	53%
Moderate	4	5%
Limited	0	0%

**Audits completed from the 2020/21 audit plan*

***Audit completed from the deferred audit list*

****Additional audits requested in year / added value*