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Cardiff
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PAPURAU ATODOL

Pwyllgor	PWYLLGOR ARCHWILIO
Dyddiad ac amser y cyfarfod	DYDD MAWRTH, 2 EBRILL 2019, 2.00 PM
Lleoliad	YSTAFELL BWYLLGORA 4 - NEUADD Y SIR
Aelodaeth	Cynghorydd Ian Arundale (Cadeirydd) Gavin McArthur, David Price, D. Hugh Thomas YCynghorwyr Bale, Cunnah, Goddard, Howells, McGarry, Singh, Walker a/ac Williams

11.1 Papurau Atodol - Eitem 11.1 Atodiad B

Davina Fiore

Cyfarwyddwr Llywodraethu a Gwasanaethau Cyfreithiol

Dyddiadd: Dydd Mercher, 27 Mawrth 2019

Cyswllt: Graham Porter, 02920 873401, g.porter@caerdydd.gov.uk

Mae'r dudalen hon yn wag yn fwriadol

Audit Plan 2018/19

11.1 Appendix B

Fundamental Audits - S151 Assurance	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
Creditor Payments & Processing (including procurement)	Assurance	70	70	CRSA 2018/19	20	Final Report Issued
				Purchasing cards	10	Final Report Issued
				In-year testing 2017/18	40	Draft Issued
				In-year testing 2018/19		
Payroll	Assurance	70	50	CRSA	0	To complete in 2019/20
				In-year testing	50	Substantially Completed
Council Tax	Assurance	15	15	CRSA 2018/19	5	Completed
				In-year testing 2017/18	10	Final Report Issued
Local Housing Allowances	Assurance	10	10	Local Housing Allowances	10	CRSA completed
Income and Debtors	Assurance	15	15	Income and Debtors	15	Final Report Issued
Asset Management	Assurance	20	20	Asset Management	20	Briefing Issued
Housing Rents	Assurance	15	15	Housing Rents	15	CRSA completed
Total		215	195		195	
Corporate Governance Assurance - Audit	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
Audit of risk management arrangements	Assurance	20	20	Audit of risk management arrangements	20	Draft Issued
		0	0	Audit of risk management arrangements 2017/18	0	Final Report Issued
Audit of governance arrangements	Assurance	30	30	Audit of governance arrangements	30	Final Report Issued
Audit of ethics and values	Assurance	25	25	Audit of ethics and values	25	Carried Forward
Audit of performance management	Assurance	20	20	Audit of performance management	20	Carried Forward
Audit of Information governance	Assurance	15	15	Audit of Information governance	15	Carried Forward
Total		110	110		110	
Programme and projects	Assurance	20	20	Programme and projects (including ODP)	20	Final Report Issued
Total		20	20		20	
Other Assurance	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
Contract Audit	Assurance	100	30	Training on new CSO&PRs	20	Completed
				Collaborative and partnership working	0	Cancelled
				Not yet allocated	0	n/a
				Cradle to Grave - Gulliver's	0	Final Report Issued
				Atebion Solutions	10	Draft Issued

Education - SOP	Assurance	0	0	Education - SOP	0	Final Report Issued
Digital Cardiff	Assurance	100	95	Cloud computing	10	Draft Issued
				IT governance	10	Draft Issued
				Self-service permissions	10	Deferred
				GDPR	20	CRSA Completed
				Not yet allocated	45	n/a
				Inventory of information assets	0	Deferred
Driving Improvement - Value for Money studies	TBC	30	70	Review of sickness absence	5	Draft Issued
				Review of agency workers, consultants and interims	15	Ongoing
				Personal review process	5	Ongoing
				Workforce deployment	20	Ongoing
				Enforcement	15	Ongoing
				Review of overtime	10	Ongoing
System Development (10 days for Atebion)	TBC	30	10	System Development	10	n/a
Insurance	Assurance	10	10	CRSA 2018/19	4	CRSA Completed
				In-year testing	6	Carried Forward
Mileage & subsistence	Assurance	10	10	Mileage & subsistence (including pool cars)	10	Final Report Issued
	Assurance	0	0	Travel policy	0	Deferred
Stores	Assurance	10	10	Stores	10	Final Report Issued
Health and Safety	Assurance	10	10	Health and Safety	10	Draft Issued
Business Continuity	Assurance	15	15	Business Continuity	15	Final Report Issued
Total		315	260		260	
Service specific audits	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
Planning, Transport and Environment	Assurance	190	155	Partnerships and collaborative governance	20	Final report issued
				Commissioning and Procurement	20	Deferred
				Budgeting and forecasting	20	Final report issued
				Value for Money	0	Cancelled
				Section 106 agreements	0	Deferred
				Flood risk management	10	Final report issued
				Follow up audits	10	On-going
				Payroll issues - additional payments	10	Final report issued
				Stock checks (CTS)	0	Deferred
				Acting up allowances	0	Final report issued
				Asset Management	10	CRSA

				Tranman	10	Deferred
				Payroll issues	20	Draft report issued
				To be allocated following further discussion with Director	0	n/a
				Commissioning and Procurement	0	Final Report Issued
				Governance	0	Final Report Issued
				Review of Gatehouse	0	Draft Issued
				Income and banking control in Lamby Way	10	Final report issued
				Effective Decision Making	0	Final Report Issued
				Review of contracts in Waste Management (incl. income)	10	Draft Issued
				Lamby Way Stock Check	5	Completed
	Consultation	0	30	Household Waste Recycling Centre (incl. weighbridge)	10	Concluded
				Weighbridge - monitoring of actions	10	Concluded and Ongoing
				Review of Gatehouse	10	Concluded
Housing and Communities	Assurance	150	115	Partnerships and collaborative governance	25	Draft Issued
				Commissioning and Procurement	20	Deferred
				Budgeting and forecasting	25	Final Report Issued
				Value for Money	0	Cancelled
				Lettings policy for high rise accommodation	10	Deferred
				Independent Living	0	Deferred
				Regional Partnership Board	15	Concluding
				Follow up audits	10	On-going
				Asset Management	10	CRSA
				To be allocated following further discussion with Director	0	n/a
				Communities First	0	Final Report Issued
				Commissioning and Procurement	0	Final Report Issued
				Effective Decision Making	0	Final Report Issued
Economic Development	Assurance	90	75	Partnerships and collaborative governance	10	Final report issued
				Commissioning and Procurement	10	Final Report Issued
				Budgeting and forecasting	15	Final Report Issued
				Value for Money	0	Cancelled

Education	Assurance	350	330	Park and Ride - Events	10	Final report issued	
				Follow up audits	5	On-going	
				Income collection / fees and charges	10	Deferred	
				Front of House (Cardiff Castle)	5	Final Report Issued	
				County Hall canteen	0	Draft Issued	
				Sports Joint Venture	0	Deferred	
				Asset Management	5	CRSA	
				Commissioning and Procurement	0	Final Report Issued	
				FMIT	0	Final report issued	
				GLL Leisure Services contract	0	Final report issued	
				Commercial Services	0	Final report issued	
				Effective Decision Making	0	Final report issued	
				Governance	0	Final report issued	
				Brindley Road Stock Check	5	Completed	
	Commissioning and Procurement	25	Deferred				
	Budgeting and forecasting	25	Final report issued				
	Value for Money	0	Cancelled				
	ICT Governance	25	CRSA				
	School Admissions	10	Deferred				
	Schools' estate	15	Deferred				
	Commissioning of independent investigations	20	Deferred				
	Use of contractors by schools	20	Deferred				
	Work in individual schools	0	As below				
	<i>Willows</i>	5	Draft Issued				
<i>Baden Powell</i>	5	Final Report Issued					
<i>Llandaff CiW</i>	5	Final report issued					
<i>Whitchurch Primary</i>	5	Final report issued					
<i>Whitchurch HS</i>	5	Draft Issued					
<i>Pontprennau</i>	5	Final report issued					
<i>Ysgol Coed y Gof</i>	5	Completed					
<i>St. David's</i>	5	Draft Issued					
<i>Roath Park</i>	5	Carried Forward					
<i>St. Peter's</i>	5	Draft Issued					
<i>Ysgol Glantaf</i>	5	Draft Issued					

				Provision of training to schools	45	Completed
				Income processes (Education)	15	Concluding
				Review of income procedures in school kitchens	20	Final Report Issued
				Follow up audits	10	Ongoing
				Music Service - follow up	10	Ongoing
				Music Service - expenditure	10	Draft Issued
				Music Service	0	Draft Issued
				Governance	0	Draft Issued
				Commissioning and Procurement (Cantonian)	0	Final Report Issued
				Commissioning and Procurement (Tongwynlais)	0	Final Report Issued
Governance and Legal Services	Assurance	50	40	Partnerships and collaborative governance	15	Final Report Issued
				Commissioning and Procurement	10	Final report issued
				Budgeting and forecasting	15	Final report issued
				Value for Money	0	Cancelled
				Governance	0	Draft Issued
				Commissioning and Procurement	0	Deferred
				Internal and external providers	0	Draft Issued
Resources	Assurance	50	30	Partnerships and collaborative governance	0	Incl. as part of EDM report
				Commissioning and Procurement	15	Deferred
				Budgeting and forecasting	15	Draft Report Issued
				Value for Money	0	Cancelled
				Governance	0	Final Report Issued
Social Services	Assurance	320	235	Partnerships and collaborative governance	25	Final Report Issued
				Commissioning and Procurement	25	Deferred
				Budgeting and forecasting	25	Draft Issued
				Value for Money	0	Final report issued
				Regional Social Care Training Unit	15	Draft Issued
				Commissioning of independent investigations	20	Final report issued
				Domiciliary care	15	Deferred
				Follow up audits	10	Ongoing
				Safeguarding arrangements	20	Final Report Issued
				Asset Management	10	CRSA

				To be allocated following further discussion with Director (following appointment)	50	n/a
				Care Packages	10	Final Report Issued
				Commissioning and Procurement	0	Final Report Issued
				Governance	0	Final Report Issued
				Effective Decision Making	0	Final Report Issued
	Consultation			Social Services Service Review	10	Final Report Issued
Total		1,200	1,010		1,010	
External	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
External clients	Assurance	10	25	Cardiff Further Education Trust Fund	2	Concluding
				Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)	10	Final Report Issued
				WLGA	5	Draft Issued
				City Deal 2017/18	0	Final Report Issued
				City Deal 2018/19	5	Final Report Issued
				Rent Smart Wales - training	3	Email issued
				Norwegian Church Trust Fund	0	Final report issued
Grants	Assurance	20	18	Other grants	8	Draft Issued
				Education Improvement Grant	0	Draft Issued
				Youth Innovation Grant	10	Draft Issued
				Flying Start	0	Final report issued
Total		30	43		43	
Contingencies	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
General Audit		30	283	General Audit	260	Ongoing
				National Fraud Initiative	13	Ongoing
				NFI 2018 - creditors	5	Deferred
				NFI 2018 - payroll	5	Deferred
Total		30	283		283	
Management	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days	Status at 31 March 2019
Support for Audit Committee / liaison with WAO	Management	50	50	Support for Audit Committee / liaison with WAO	50	Continuous and ongoing
Assurance mapping	Management	10	10	Assurance mapping	10	Continuous and ongoing
CRSA development	Management	20	20	CRSA development	20	Continuous and ongoing

Work requested by Audit Manager	Management	20	20	Work requested by Audit Manager	20	Continuous and ongoing
Audit Planning and monitoring	Management	20	20	Audit Planning and monitoring	20	Continuous and ongoing
Process Development	Management	20	20	Process Development	20	Continuous and ongoing
<i>Driving Improvement (Value for Money studies)</i>		0	0	<i>Driving Improvement (Value for Money studies)</i>		
Review of Financial Rules etc	Consultation	40	40	Review of Financial Rules etc	40	Continuous and ongoing
Consultancy - advice and guidance	Management			Consultancy - advice and guidance		Continuous and ongoing
Total		180	180		180	
Total chargeable days		2,100	2,100		2,100	

Mae'r dudalen hon yn wag yn fwriadol