Audit Plan 2017/18

Participant Partial Parital Partial Partial	Fundamental Audits - S151 Assurance	Type of engagement	CIPFA classification	Original audit plan	Assignment	Days	Status as at 27.10.17	Revised Days
matrix	Creditor Payments & Processing (including procurement)	Assurance	Chargeable			_		10
number			Ű			_		30
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Answer of the second	Treasury Management	Assurance	Chargeable	10	CRSA 2017/18	4	Researching and scoping	4
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Addit of Information governance Outgrades Outgrads Outgrads Outgr	Audit of performance management	Assurance	Chargeable	15	Audit of performance management	15	Deferred until Q3 due to implementation of changes in processes	15
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Business continuity Assurance Chargeable 15 Business continuity 15 Planned for Q3	Business Continuity	Assurance	Chargeable	15	Business Continuity	15	Planned for Q3	15

Service specific audits (Tier 2)	Type of engagement	CIPFA classification	Original audit plan	Assignment	Days	Status as at 27.10.17	Days
City Operations				Commissioning and Procurement		Fieldwork	30
				Governance		Fieldwork	20
				Payroll	120	Fieldwork	20
	Assurance	Chargeable	120	Effective Decision Making	120	Planned for Q4	20
				Section 106 agreements	4	Fieldwork	10
				Not yet allocated		Not yet identified by directorate	20
				Adopted Land	0	Carried forward from 2016/17 - closed	0
				Commissioning and Procurement	20	Fieldwork	20
		Chargeable	120	Governance	15	Fieldwork	15
				Payroll	10	Fieldwork	10
				Effective Decision Making	20	Planned for Q4	20
				Leasehold Properties	15	Scope of audit being discussed with directorate (in line with audit of housing rents)	15
Communities, Housing and Customer Services	Assurance			Supporting People contracts	10	Planned for Q4	10
, 3				Mini-tender Process	15	Planned for Q4	15
				Assessment of Return on Investment (new housing developments)	15	Deferred	0
				Community Hubs - follow up	0	Draft report being reviewed	0
				Regional Partnership Board	0	Possible new audit (Scrutiny letters)	0
		-		Communities First	0	Carried over from 2016/17. Audit ongoing (changes in governance)	0
	Consultation			Building Services Maintenance Framework	0	Attendance at meetings	0
				Commissioning and Procurement	20	Fieldwork	20
		Chargeable	110	Governance	5	Researching and scoping	5
				Payroll	5	Fieldwork	5
Economic Development	Assurance			Effective Decision Making	10	Researching and scoping	10
				Managing Lease Arrangements	10	Planned for Q4	10
				Use of Internal and External Providers	10	Planned for Q4	10
		 '	L	Commercial Services	50	Scope of reviews being discussed with managers	50
				Commissioning and Procurement	40	Fieldwork	30
	Assurance	Chargeable	330	Governance	40	Fieldwork	40
				Payroll	20	Fieldwork	20
				Effective Decision Making	40	Proposed to reduce the number of days to 30	30
				Income	30	24 draft / final reports issued to schools. Summary report prepared (see main report)	30
				Premises / stat observations in opted-out schools	20	Deferred to Q1 2018/19 (possibly Q4 2017/18)	0
				Music Service	10	Draft report being reviewed	10
				Catering in opted-out schools	15	Draft report being reviewed	15
				New developments, including Eastern High	35	Planned for Q3 / 4	35
				CRSA 2017/18	30	Annual exercise - ongoing and on track for completion by end of Q4	30
Education and Lifelong Learning				Work in individual schools	50		45
				Adamsdown	0	Draft report being reviewed	5
				All Saints	0	Carried forward from 2016/17 - final report issued	0
				Birchgrove	0	Carried forward from 2016/17 - final report issued	0
				Eastern High	0	Carried forward from 2016/17 - final report issued	0
				Mount Stuart	0	Carried forward from 2016/17 - final report issued	0
				St. Cuthbert's	0	Carried forward from 2016/17 - final report issued	0
				St. David's	0	Carried forward from 2016/17 - final report issued	0
				St. Mary's	0	Audit undertaken at request of Headteacher. Draft report being reviewed	0
				St. Monica's	0	Carried forward from 2016/17 - final report issued	0
				The Court	0	Carried forward from 2016/17 - draft report issued	0
				School Admissions	0	Possible new audit (Scrutiny letters)	0
	Assurance			Commissioning and Procurement	6	Postponed to Q4	6
		Chargeable		Governance	2	Planned for Q3	2
Governance and Legal Services				Payroll	2	Draft report issued	2
				Effective Decision Making	5	Planned for Q4	5
				Use of external legal advice	5	Planned for Q4	5
Resources	Assurance	Chargeable	50	Land charges follow up	0	Carried forward from 2016/17 - final report issued	0
				Commissioning and Procurement	10	Fieldwork	10
				Governance	15	Researching and scoping	15
				Payroll	10	Draft report issued	10
				Effective Decision Making	15	Fieldwork	15
	1			Commissioning and Procurement	50	Fieldwork	50
				Governance	50	Planned for Q3	50
				Payroll	20	Fieldwork	20
			300	Payroll Effective Decision Making	40	Fieldwork Proposed to reduce the number of days to 30	20 30
Social Services	Assurance	Chargeable	300	Payroll		Fieldwork	20

				Payment processes	40	Fieldwork	40
				Homecare (Mobile Scheduling)	0	Final report issued	0
				Children with Disabilities	0	Carried forward from 2016/17 - final report issued	0
				Payments to Care Leavers	0	Carried forward from 2016/17 - final report issued	0
Total			1,050		1,050		935
External (Tier 2)	Type of engagement	CIPFA classification	Original audit plan	Assignment	Days	Status as at 27.10.17	
				Cardiff Further Education Trust Fund	1	Due in Q4	1
			10	Joint committees	3	Four audits undertaken. All closed	3
				Other external clients	14		14
External clients	Assurance	Chargeable		Norwegian Church Trust 2015/16	0	Due in Q3	0
				Norwegian Church Trust 2016/17	0	Due in Q4	0
				Supporting People outcomes	0	Audit of grant outcomes. Closed	0
				Education Improvement Grant	0	Draft report issued. Audit certificate signed.	0
		Chargeable	20	Tresilian House	2	Due in Q4	2
Grants	Assurance			IMLU	5	Final report issued	5
				Other grants	5		5
Total			30		30		30
Contingencies	Type of engagement	CIPFA classification	Original audit plan	Assignment	Days	Status as at 27.10.17	
General Audit		Chargeable	82	General Audit	82	Days used for audits that were carried over from 2016/17	82
Total			82		82		82
Management (Tier 3)	Type of engagement	CIPFA classification	Original audit plan	Assignment	Days	Status as at 27.10.17	
Support for Audit Committee / liaison with WAO	Consultation	Chargeable	40	Support for Audit Committee / liaison with WAO	40	On-going and continuous	40
Assurance mapping	Consultation	Chargeable	20	Assurance mapping	20	On-going (Contraction)	20
CRSA development	Consultation	Chargeable	10	CRSA development	10	Proposed to be deferred	0
Work requested by Audit Manager	Consultation	Chargeable	20	Work requested by Audit Manager	20		20
Audit Planning and monitoring	Consultation	Chargeable	20	Audit Planning and monitoring	20	On-going and continuous	20
Process Development	Consultation	Chargeable	20	Process Development	20		20
Review of Financial Rules etc	Consultation	Chargeable	20	Review of Financial Rules etc	20	Revision of rules is on-going	20
Consultancy - advice and guidance	Consultation	Chargeable	30	Consultancy - advice and guidance	30	On-going and continuous	30

Total chargeable days

2,102

2,102

1,852