## Audit Plan 2018/19 (as at 31.05.18)

Fundamental Audits - S151 Assurance	Type of engagement	Original audit plan	Assignment	Days
Condition Dominate O. Domination / London			CRSA 2018/19	20
Creditor Payments & Processing (including procurement)	Assurance	70	In-year testing 2017/18 and 2018/19	50
Payroll	Assurance	70	CRSA 2018/19	20
Payroll	Assurance	70	In-year testing 2017/18 and 2018/19	50
Council Tax	Assurance	15	CRSA 2018/19	5
Council Tax	Assurance	13	In-year testing 2017/18	10
Local Housing Allowances	Assurance	10	Local Housing Allowances	10
Income and Debtors	Assurance	15	Income and Debtors	15
Asset Management	Assurance	20	Asset Management	20
Housing Rents	Assurance	15	Housing Rents	15
Total		215		215
Corporate Governance Assurance - Audit	Type of engagement	Original audit plan	Assignment	Days
Audit of rick management arrangements	Accurance	20	Audit of risk management arrangements	20
Audit of risk management arrangements	Assurance	0	Audit of risk management arrangements 2017/18	0

Plann	Planned for audit in quarter				
1	2	3	4		
15	5	0	0		
10	15	0	25		
0	20	0	0		
0	5	20	25		
5	0	0	0		
0	10	0	0		
0	0	0	10		
15	0	0	0		
20	0	0	0		
0	0	15	0		
65	55	35	60		
0	0	20	0		
0	0	0	0		

Status
Fieldwork
Fieldwork
Fieldwork
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Final report issued

Audit of governance arrangements	Assurance	30	Audit of governance arrangements	30
Audit of ethics and values	Assurance	25	Audit of ethics and values	25
Audit of performance management	Assurance	20	Audit of performance management	20
Audit of Information governance	Assurance	15	Audit of Information governance	15
Total		110	, and the second	110
Programme and projects (including ODP)	Assurance	20	Programme and projects (including ODP)	20
Total		20		20
Other Assurance	Type of engagement	Original audit plan	Assignment	Days
		Т	Training on new CSO&PRs	20
Contract Audit	Accurance	100	Collaborative and partnership working	50
Contract Addit	Assurance	100	Not yet allocated	30
			Cradle to Grave - Gulliver's	0
Education - SOP	Assurance	0	Education - SOP	0
			Cloud computing	15
			Self-service permissions	10
Digital Cardiff	Assurance	100	GDPR	20
			Not yet allocated	55
			Inventory of information assets	0
			Review of sickness absence	5
Driving Improvement - Value for Money studies	ТВС	30	Review of agency worker appointment process	10
Strong improvement value for money studies	150	30	Personal review process	5
			Review of overtime	10
System Development	TBC	30	System Development	30
Insurance	Assurance	10	CRSA 2018/19	4
			In-year testing 2017/18	6
Mileage & subsistence	Assurance	10	Mileage & subsistence (including pool cars)	10
Stores	Assurance	10	Stores	10
Health and Safety	Assurance	10	Health and Safety	10

30	0	0	0
0	25	0	0
0	0	0	20
0	0	15	0
30	25	35	20
0	0	20	0
0	0	20	0
20	0	0	0
0	0	50	0
0	0	15	15
0	0	0	0
0	0	0	0
0	15	0	0
0	10	0	0
0	0	20	0
0	0	20	35
0	0	0	0
0	5	0	0
0	0	10	0
0	5	0	0
0	0	0	10
0	0	0	30
0	0	0	4
0	0	0	6
10	0	0	0
10	0	0	0
0	0	0	10

Fieldwork
Ongoing
Draft report issued
Final report issued
Fieldwork
Fieldwork

Business Continuity	Assurance	15	Business Continuity	15
Total		315		315
Service specific audits	Type of engagement	Original audit plan	Assignment	Days
			Partnerships and collaborative governance	20
			Commissioning and Procurement	20
			Budgeting and forecasting	20
			Value for Money	20
			Section 106 agreements	10
Planning, Transport and Environment	Assurance	190	Flood risk management	10
			Follow up audits	10
			To be allocated following further discussion with Director	80
			Commissioning and Procurement	0
			Effective Decision Making	0
			Partnerships and collaborative governance	25
			Commissioning and Procurement	20
			Budgeting and forecasting	25
			Value for Money	20
			Lettings policy for high rise accommodation	10
Housing and Communities	Assurance	150	Independent Living (link with Social Services?)	10
			Regional Partnership Board	15
			Follow up audits	10
			To be allocated following further discussion with Director	15
			Effective Decision Making	0
			Partnerships and collaborative governance	10
			Commissioning and Procurement	10
			Budgeting and forecasting	15
			Value for Money	10
Economic Development	Assurance	90	Park and Ride - Events	10
·			Follow up audits	5
			Income collection / fees and charges	10
			Front of House (Cardiff Castle)	5
			Sports Joint Venture	15

15	0	0	0
55	35	115	110
20	0	0	0
0	0	20	0
0	20	0	0
0	0	0	20
0	10	0	0
0	10	0	0
2.5	2.5	2.5	2.5
10	30	20	20
0	0	0	0
0	0	0	0
25	0	0	0
0	0	20	0
0	25	0	0
0	0	0	20
0	0	0	10
0	10	0	0
0	0	0	15
2.5	2.5	2.5	2.5
3.75	3.75	3.75	3.75
0	0	0	0
10	0	0	0
0	0	10	0
0	15	0	0
0	0	0	10
10	0	0	0
1.25	1.25	1.25	1.25
0	10	0	0
0	0	5	0
0	0	15	0

Fieldwork
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	1 1		Commissioning and Procurement	0
			FMIT	0
			Effective Decision Making	0
			Governance	0
			Partnerships and collaborative governance	25
			Commissioning and Procurement	25
			Budgeting and forecasting	25
			Value for Money	25
			ICT Governance	25
			School Admissions	10
			Schools' estate	15
			Commissioning of independent investigations	20
			Use of contractors by schools	20
			Work in individual schools	30
			Willows	5
			Baden Powell	5
Education	Assurance	350	Llandaff CiW	5
			Whitchurch Primary	5
			Whitchurch HS	5
			Pontprennau	5
			Provision of training to schools	45
			Income processes (Education)	15
			Review of income procedures in school kitchens	10
			Follow up audits	10
			Music Service - follow up	10
			Music Service - expenditure	10
			Music Service	0
			Governance	0
			Commissioning and Procurement (Tongwynlais)	0
			Partnerships and collaborative governance	15
			Commissioning and Procurement	10
			Budgeting and forecasting	15
Governance and Legal Services	Assurance	50	Value for Money	10
			Governance	0
			Internal and external providers	0
			Commissioning and Procurement	0
Decourage	A	F0	Partnerships and collaborative governance	10
Resources	Assurance	50	Commissioning and Procurement	15

0	0	0	0
0	0	0	0
0	0	0	0
0	0	0	0
25	0	0	0
0	0	25	0
0	25	0	0
0	0	0	25
25	0	0	0
0	0	0	10
0	0	15	0
0	20	0	0
0	0	0	20
5	5	15	5
0	5	0	0
5	0	0	0
5	0	0	0
5	0	0	0
0	0	0	5
5	0	0	0
19	24	0	2
10	5	0	0
10	0	0	0
2.5	2.5	1.5	3.5
0	10	0	0
0	10	0	0
0	0	0	0
0	0	0	0
0	0	0	0
15	0	0	0
0	0	10	0
0	15	0	0
0	0	0	10
0	0	0	0
0	0	0	0
0	0	0	0
10	0	0	0
0	0	15	0
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Final report issued
Not yet started

			Budgeting and forecasting	15
			Value for Money	10
			Commissioning and Procurement	0
			Governance	0
			Partnerships and collaborative governance	25
			Commissioning and Procurement	25
			Budgeting and forecasting	25
			Value for Money	25
	Assurance	320	Regional Social Care Training Unit	15
			Commissioning of independent investigations	20
Social Services			Domiciliary care	15
Social Services			Follow up audits	10
			Safeguarding arrangements	20
			To be allocated following further discussion with Director (following appointment)	
			Commissioning and Procurement	
			Governance	
			Effective Decision Making	0
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Total		1,200		1,200
Total External	Type of engagement	1,200 Original audit plan	Assignment	1,200 Days
		Original	Assignment  Cardiff Further Education Trust Fund	
		Original		Days
External	engagement	Original audit plan	Cardiff Further Education Trust Fund Joint committees (Glamorgan Archives, Prosiect	Days 2
External	engagement	Original audit plan	Cardiff Further Education Trust Fund Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)	<b>Days</b> 2 10
External	engagement	Original audit plan	Cardiff Further Education Trust Fund Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health) WLGA	2 10 5
External  External clients	Assurance	Original audit plan 10	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund	2 10 5 0
External  External clients  Grants	Assurance	Original audit plan  10	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund	Days  2  10  5  0 13
External  External clients  Grants  Total  Contingencies	Assurance Assurance Type of	Original audit plan  10  20 30  Original audit plan	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants	Days  2  10  5  0  13  30
External  External clients  Grants  Total	Assurance Assurance Type of	Original audit plan  10  20 30  Original	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants  Assignment	Days  2  10  5  0  13  30  Days
External  External clients  Grants  Total  Contingencies	Assurance Assurance Type of	Original audit plan  10  20 30  Original audit plan	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants  Assignment  General Audit	Days  2  10  5  0  13  30  Days  18
External  External clients  Grants  Total  Contingencies  General Audit	Assurance Assurance Type of	Original audit plan  10  20 30  Original audit plan  30	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants  Assignment  General Audit	Days  2  10  5  0  13  30  Days  18  13
External  External clients  Grants  Total  Contingencies  General Audit  Total	Assurance  Assurance  Type of engagement  Type of	Original audit plan  10  20 30  Original audit plan  30  Original	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants  Assignment  General Audit  National Fraud Initiative	Days  2  10  5  0  13  30  Days  18  13  30
External  External clients  Grants  Total  Contingencies  General Audit  Total  Management  Support for Audit Committee / liaison with	Assurance  Assurance  Type of engagement  Type of engagement	Original audit plan  10  20 30 Original audit plan 30 Original audit plan audit plan	Cardiff Further Education Trust Fund  Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)  WLGA  Norwegian Church Trust Fund  Other grants  Assignment  General Audit  National Fraud Initiative  Assignment	Days  2  10  5  0  13  30  Days  18  13  30  Days

0	15	0	0
0	0	0	10
0	0	0	0
0	0	0	0
25	0	0	0
0	0	25	0
0	0	25	0
0	0	0	25
0	0	0	15
0	20	0	0
15	0	0	0
2.5	2.5	2.5	2.5
0	20	0	0
30	40	30	40
0	0	0	0
0	0	0	0
0	0	0	0
299	359	264	278
0	0	0	2
10	0	0	0
5	0	0	0
0	0	0	0
3.75	3.75	3.75	1.75
18.75	3.75	3.75	3.75
0	2.5	7.5	7.5
12.5	0	0	0
12.5	2.5	7.5	7.5
12.5	12.5	12.5	12.5
2.5	2.5	2.5	2.5
5	5	5	5

	Final report issued
	Final report issued
	Fieldwork
	Not yet started
	Ongoing
	Final report issued
	Final report issued
	Final report issued
	Fieldwork
	Draft report issued
	Final report issued
	Ongoing
_	ontinuous and areas
C	ontinuous and ongoing

Consultation	20	Work requested by Audit Manager	20
Consultation	20	Audit Planning and monitoring	20
Consultation	20	Process Development	20
Consultation	40	Review of Financial Rules etc	40
Consultation	40	Consultancy - advice and guidance	40
	180		180
	Consultation Consultation Consultation	Consultation 20 Consultation 20 Consultation 40	Consultation 20 Audit Planning and monitoring  Consultation 20 Process Development  Consultation 40 Review of Financial Rules etc  Consultation - advice and guidance

5	5	5	5
5	5	5	5
5	5	5	5
10	10	10	10
45	45	45	45

Continuous and ongoing
Continuous and ongoing

Γotal	chargea	ble days

2,100

2,100

525 525 525 524

525 525 525 525