| Fundamental Audits - S151 Assurance | Type of engagement | Original audit plan | Revised audit plan | Assignment | Days |
|--------------------------------------------------------------------|-----------------------------------------|----------------------------------|---------------------|------------------------------------------------------------------------------------------------------------|-------------------------------|
| | | Press | Promi | CRSA 2018/19 | 20 |
| | | | | Purchasing cards | 10 |
| Creditor Payments & Processing (including procurement) | Assurance | 70 | 70 | In-year testing 2017/18 and 2018/19 | 40 |
| Payroll | Assurance | 70 | 50 | CRSA 2018/19 In-year testing 2017/18 and 2018/19 | 0 50 |
| Council Tax | Assurance | 15 | 15 | CRSA 2018/19 In-year testing 2017/18 | 5 10 |
| Local Housing Allowances | Assurance | 10 | 10 | Local Housing Allowances | 10 |
| Income and Debtors | Assurance | 15 | 15 | Income and Debtors | 15 |
| Asset Management | Assurance | 20 | 20 | Asset Management | 20 |
| Housing Rents | Assurance | 15 | 15 | Housing Rents | 15 |
| Total | | 215 | 195 | | 195 |
| Corporate Governance Assurance - Audit | Type of engagement | Original audit | Revised audit | Assignment | Days |
| corporate dovernance Assurance - Addit | Type of engagement | plan | plan | · · | |
| Audit of risk management arrangements | Assurance | 20 | 20 | Audit of risk management arrangements | 20 |
| | | 0 | 0 | Audit of risk management arrangements 2017/18 | 0 |
| Audit of governance arrangements | Assurance | 30 | 30 | Audit of governance arrangements | 30 |
| Audit of ethics and values Audit of performance management | Assurance Assurance | 25 20 | 25 20 | Audit of ethics and values | 25 |
| Audit of performance management Audit of Information governance | Assurance | 15 | 15 | Audit of performance management Audit of Information governance | 20 15 |
| Total | Assurance | 110 | 110 | Addit of information governance | 110 |
| Programme and projects (including ODP) | Assurance | 20 | 20 | Programme and projects (including CADT) | 20 |
| Total | rissarance | 20 | 20 | Programme and projects (including CADT) | 20 |
| Other Assurance | Type of engagement | Original audit | Revised audit plan | Assignment | Days |
| | | p.c | p.u | Training on new CSO&PRs | 20 |
| | | | | Collaborative and partnership working | 0 |
| Contract Audit | Assurance | 100 | 20 | Not yet allocated | 0 |
| | | | | Cradle to Grave - Gulliver's | 0 |
| Education - SOP | Assurance | 0 | 0 | Education - SOP | 0 |
| | | | | Cloud computing | 15 |
| | | | | Self-service permissions | 10 |
| Digital Cardiff | Assurance | 100 | 100 | GDPR | 20 |
| | | | | Not yet allocated | 55 |
| | | | | Inventory of information assets | 0 |
| | | | | Review of sickness absence | 5 |
| | | | | Review of agency worker appointment process | 15 |
| Driving Improvement - Value for Money studies | TBC | 30 | 70 | Personal review process | 5 |
| 0 p = 1 = 1 = 1 = 1 = 1 = 1 = 1 = 1 = 1 = | | | | Workforce deployment | 20 |
| | | | | Enforcement | 15 |
| | | | | Review of overtime | 10 |
| System Development | TBC | 30 | 30 | System Development | 30 |
| | | | | CDCA 2040/40 | |
| Insurance | Assurance | 10 | 10 | CRSA 2018/19 | 4 |
| Insurance | | | | In-year testing 2017/18 | 4 6 |
| Insurance Mileage & subsistence | Assurance | 10 | 10 | In-year testing 2017/18 Mileage & subsistence (including pool cars) | 4 6 10 |
| Mileage & subsistence | Assurance Assurance | 10 0 | 10 5 | In-year testing 2017/18 Mileage & subsistence (including pool cars) Travel policy | 4 6 10 5 |
| Mileage & subsistence Stores | Assurance | 10 0 10 | 10 5 10 | In-year testing 2017/18 Mileage & subsistence (including pool cars) Travel policy Stores | 4 6 10 5 10 |
| Mileage & subsistence | Assurance Assurance Assurance | 10 0 | 10 5 | In-year testing 2017/18 Mileage & subsistence (including pool cars) Travel policy | 4 6 10 5 |
| Mileage & subsistence Stores Health and Safety | Assurance Assurance Assurance Assurance | 10 0 10 10 | 10 5 10 | In-year testing 2017/18 Mileage & subsistence (including pool cars) Travel policy Stores Health and Safety | 4 6 10 5 10 |
| Mileage & subsistence Stores Health and Safety Business Continuity | Assurance Assurance Assurance Assurance | 10 0 10 10 15 315 | 10 5 10 10 | In-year testing 2017/18 Mileage & subsistence (including pool cars) Travel policy Stores Health and Safety | 4 6 10 5 10 10 |

Appendix B

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| June Fieldwork | at Audit Committee in September | November |
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| | September | November |
| Fieldwork | | |
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| | Closed Fieldwork | |
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| Fieldment | Dueft | Final parametican d |
| Fieldwork | Draft | Final report issued |
| Fieldwork | Fieldwork | Draft |
| Fieldwork | Draft | Briefing paper issued |
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| Final report issued Fieldwork | Final report issued | |
| Helawork | Fieldwork | |
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| Draft report issued | Final report issued | Cancelled |
| Final report issued | Timar report issued | |
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| Fieldwork | Fieldwork | Draft |

| Pubming Transport and Environment | | | | | | |
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| Contraction Parameter 190 | | | | | Budgeting and forecasting | 20 |
| Paramong Transport and Environment | | | | | Value for Money | 0 |
| Paramong Transport and Environment | | | | | , | 0 |
| Parming Transport and Environment | | | | | | _ |
| Paralle, Transport and Environment | | | | | | _ |
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| Service spacific audits | | | | | | _ |
| Acting go allowances 30 14 15 15 15 15 15 15 15 | Planning, Transport and Environment | Assurance | 190 | 190 | | _ |
| According Development 10 10 | | | | | | _ |
| Transma | | | | | | _ |
| Payroll incomes 20 | | | | | | _ |
| To be allocated following further discussion with Director 45 | | | | | Tranman | 10 |
| Service specific audits | | | | | | 20 |
| Sanota specific audits | | | | | To be allocated following further discussion with Director | 45 |
| Property | | | | | Commissioning and Procurement | 0 |
| Service specific audits | | | | | Governance | 0 |
| Perspective specific audits | | | | | Effective Decision Making | 0 |
| Part | Comico specific qualita | Tune of augagement | Original audit | Revised audit | | Dave |
| Commissioning and Procurement 28 | Service specific addits | Type of engagement | plan | plan | | |
| People and Communities | | | | | | |
| People and Communities | | | | | | |
| Retries policy for high rise accommodation 10 | | | | | | _ |
| People and Communities | | | | | Value for Money | 0 |
| People and Communities | | | | | Lettings policy for high rise accommodation | 10 |
| People and Communities | | | | | Independent Living (link with Social Services?) | 0 |
| Follow up audits | People and Communities | Assurance | 150 | 115 | | 15 |
| Assert Management | 1 | | | | | |
| To be allocated following further discussion with Director | 1 | | | | · | _ |
| Communities First | 1 | | | | | _ |
| Commissioning and Procurement 0 | | | | | | _ |
| Effective Decision Making | | | | | | |
| Partnerships and collaborative governance | | | | | | |
| Commissioning and Procurement 10 | | | | | | _ |
| Budgeting and forecasting 15 | | | | | | _ |
| Part | | | | | Commissioning and Procurement | 10 |
| Economic Development | | | | | Budgeting and forecasting | 15 |
| Economic Development | | | | | Value for Money | 0 |
| Economic Development | | | | | Park and Ride - Events | 10 |
| Economic Development | | | | | | _ |
| Economic Development | | | | | | _ |
| Assurance 90 75 | | | | | | |
| Asset Management | Economic Development | Assurance | 90 | 75 | | _ |
| Commissioning and Procurement 0 | | | | | | |
| EMIT | | | | | | _ |
| GIL Leisure Services contract | | | | | · · | _ |
| Commercial Services | | | | | FMIT | 0 |
| Effective Decision Making | | | | | GLL Leisure Services contract | 0 |
| Governance | | | | | Commercial Services | 0 |
| Governance | | | | | Effective Decision Making | 0 |
| Partnerships and collaborative governance | | | | | | 0 |
| Education Assurance Assu | | | | | | _ |
| Budgeting and forecasting 25 | | | | | | |
| Value for Money | | | | | | |
| ICT Governance 25 School Admissions 10 | | | | | | |
| School Admissions 10 | | | | | | _ |
| Schools' estate 15 | | | | | | _ |
| Commissioning of independent investigations 20 | 1 | | | | | _ |
| Lise of contractors by schools 20 | 1 | | | | | |
| Lise of contractors by schools 20 | 1 | | | | Commissioning of independent investigations | 20 |
| Education Assurance 350 325 Willows 5 Baden Powell 5 Llandaff CIW 5 Whitchurch Primary 5 Whitchurch HS 5 Pontprennau 5 S Pontprennau 5 S Pontprennau 5 S Provision of training to schools 45 Income processes (Education) 15 Review of income procedures in school kitchens 20 Follow up audits 10 Music Service - expenditure 10 Music Service - exp | | | | | Use of contractors by schools | 20 |
| Education Assurance 350 325 Willows 5 Baden Powell 5 Llandaff CIW 5 Whitchurch Primary 5 Whitchurch HS 5 Pontprennau 5 S Pontprennau 5 S Pontprennau 5 S Provision of training to schools 45 Income processes (Education) 15 Review of income procedures in school kitchens 20 Follow up audits 10 Music Service - expenditure 10 Music Service - exp | | | | | Work in individual schools | 10 |
| Education | | | | | | |
| Education | | | | | | _ |
| Assurance | | | | | | |
| Assurance | 1 | | | | | _ |
| Whitchurch HS | Education | Assurance | 350 | 325 | | _ |
| Ysgol Coed y Gof5St. David's5Provision of training to schools45Income processes (Education)15Review of income procedures in school kitchens20Follow up audits10Music Service - follow up10Music Service - expenditure10Music Service0Governance0Commissioning and Procurement (Cantonian)0Commissioning and Procurement (Tongwynlais)0 | 1 | | | | | _ |
| St. David's Provision of training to schools Income processes (Education) Review of income procedures in school kitchens 20 Follow up audits 10 Music Service - follow up 10 Music Service - expenditure 10 Music Service 30 Governance 50 Commissioning and Procurement (Cantonian) 5 Commissioning and Procurement (Tongwynlais) 5 6 6 7 8 8 9 8 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 | 1 | 1 | 1 | I | Pontprennau | 5 |
| St. David's Provision of training to schools Income processes (Education) Review of income procedures in school kitchens Pollow up audits Inome procedures in school kitchens Pollow up audits Inome procedures in school kitchens Inome procedures in | 1 | | | | Ysgol Coed y Gof | 5 |
| Provision of training to schools Income processes (Education) Review of income procedures in school kitchens Pollow up audits Music Service - follow up Music Service - expenditure Music Service Governance Commissioning and Procurement (Cantonian) Commissioning and Procurement (Tongwynlais) | 1 | | | | | 5 |
| Income processes (Education) Review of income procedures in school kitchens 20 Follow up audits Music Service - follow up Music Service - expenditure Music Service Governance Commissioning and Procurement (Cantonian) Commissioning and Procurement (Tongwynlais) | 1 | | | | | _ |
| Review of income procedures in school kitchens 20 Follow up audits 10 Music Service - follow up 10 Music Service - expenditure 10 Music Service - expenditure 0 Governance 0 Commissioning and Procurement (Cantonian) 0 Commissioning and Procurement (Tongwynlais) 0 | 1 | | | | | _ |
| Follow up audits | 1 | | | | | |
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| Commissioning and Procurement (Cantonian) 0 Commissioning and Procurement (Tongwynlais) 0 | 1 | | | | Music Service | 0 |
| Commissioning and Procurement (Tongwynlais) 0 | 1 | | | | Governance | 0 |
| Commissioning and Procurement (Tongwynlais) 0 | 1 | | | | Commissioning and Procurement (Cantonian) | 0 |
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| THE CONTRACT | | | | | Partnerships and collaborative governance | 15 |

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| Statu | s at Audit Committee in | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|
| June | September | November |
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| Final wanget issued | Final report issued | |
| Final report issued Fieldwork | Draft | Draft report issued |
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| | | Cancelled |
| Not yet started | Draft | |
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| | | Deferred |
| | | Reserching and scoping |
| | Deferred | |
| | Deferred | |
| Final report issued | Deferred | |
| Final report issued Final report issued | Deferred | |
| Final report issued | Final report issued | |
| Final report issued Fieldwork | Final report issued Draft | Draft report issued |
| Final report issued Fieldwork Draft report issued | Final report issued | Draft report issued |
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| | | 1 | 1 | Commissioning and Procurement | 10 |
|-------------------------------|-----------|----|----|-------------------------------------------|----|
| | | | | Budgeting and forecasting | 15 |
| Governance and Legal Services | Assurance | 50 | 40 | Value for Money | 0 |
| | | | | Governance | 0 |
| | | | | Internal and external providers | 0 |
| | | | | Commissioning and Procurement | 0 |
| | | | | Partnerships and collaborative governance | 0 |
| | | | | Commissioning and Procurement | 15 |
| Resources | Assurance | 50 | 30 | Budgeting and forecasting | 15 |
| Resources | Assurance | 50 | 30 | Value for Money | 0 |
| | | | | Commissioning and Procurement | 0 |
| | | | | Governance | 0 |

| Service specific audits | Type of engagement | Original audit | Revised audit | Assignment | Days |
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| | | | | Partnerships and collaborative governance | 25 |
| | | | | Commissioning and Procurement | 25 |
| | | | | Budgeting and forecasting | 25 |
| | | | | Value for Money | 0 |
| | | | | Regional Social Care Training Unit | 15 |
| | | | | Commissioning of independent investigations | 20 |
| | | | | Domiciliary care | 15 |
| Social Services | Assurance | 320 | 225 | Follow up audits | 10 |
| | | | | Safeguarding arrangements | 20 |
| | | | | Asset Management | 10 |
| | | | | To be allocated following further discussion with Director (following | 60 |
| | | | | appointment) | |
| | | | | Commissioning and Procurement | 0 |
| | | | | Governance | 0 |
| | | | | Effective Decision Making | 0 |
| Total | | 1,200 | 1,000 | | 1,000 |
| External | Type of engagement | Original audit plan | Revised audit plan | Assignment | Days |
| | | | | Cardiff Further Education Trust Fund | 2 |
| | | | | Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health) | 10 |
| External clients | Assurance | 10 | 25 | WLGA | 5 |
| | | _~ |] | City Deal 2017/18 | 0 |
| | | | | City Deal 2018/19 | 5 |
| | | | | Rent Smart Wales - training | 3 |
| | | | | Norwegian Church Trust Fund | 0 |
| | | | | Other grants | 8 |
| County | | 20 | 10 | Education Improvement Grant | 0 |
| | | | | | |
| Grants | Assurance | 20 | 18 | Youth Innovation Grant | 10 |
| Grants | Assurance | 20 | 18 | ' | 10 0 |

| Planned for audit in quarter | | | | | |
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| 0 | 15 | 0 | 0 | | |
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| 15 | 0 | 0 | 0 |
| 2.5 | 2.5 | 2.5 | 2.5 |
| 0 | 20 | 0 | 0 |
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| Status at Audit Committee in | | | | |
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| June | September | November | | |
| | | | | |
| | Fieldwork | | | |
| | | Cancelled | | |
| Final report issued | | | | |
| Fieldwork | Draft | | | |
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| Deferred | | | | |
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| | Fieldwork | | | |
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| Not yet started | | |
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| | Training delivered | |
| Final report issued | | |
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| | | Researching and scoping |
| Fieldwork | Final report issued | |
| | | |

| Contingencies | Type of engagement | Original audit plan | Revised audit plan | Assignment | Days |
|------------------------------------------------------------------|------------------------------|------------------------|-----------------------|-----------------------------------------------------------------|----------|
| | | | | General Audit | 249 |
| General Audit | | 30 | 272 | National Fraud Initiative | 13 |
| | | | | NFI 2018 - creditors NFI 2018 - payroll | 5 5 |
| Total | | 30 | 272 | NFI 2018 - payroli | 272 |
| Management | Type of engagement | Original audit plan | Revised audit plan | Assignment | Days |
| Support for Audit Committee / liaison with WAO | Consultation | 50 | | Support for Audit Committee / liaison with WAO | 50 |
| Assurance mapping CRSA development | Consultation Consultation | 10 20 | 10 20 | Assurance mapping CRSA development | 10 20 |
| Work requested by Audit Manager | Consultation | 20 | 20 | Work requested by Audit Manager | 20 |
| Audit Planning and monitoring | Consultation | 20 | 20 | Audit Planning and monitoring | 20 |
| Process Development | Consultation | 20 | 20 | Process Development | 20 |
| | | 0 | | | |
| | Consultation | | _ | Review of Financial Rules etc | |
| Review of Financial Rules etc Consultancy - advice and guidance | Consultation Consultation | 40 | 40 | Review of Financial Rules etc Consultancy - advice and guidance | 40 |

| Planned for audit in quarter | | | | | |
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| 0 | 0 | 0 | 5 | | |
| 12.5 | 0 | 125 | 120 | | |
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| 12.5 | 12.5 | 12.5 | 12.5 | | |
| 2.5 | 2.5 | 2.5 | 2.5 | | |
| 5 | 5 | 5 | 5 | | |
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Status at Audit Committee in