DRAFT AUDIT PLAN, 2020/21

Fundamental Audits - S151 Assurance	Risk	Engagement Type	Original Audit	Assignment	Days	Audit Scope	National Issue	Audit Output Status 30.06.20	Audit Opinion
Fundamental Addits - 3151 Assurance			Tidii	Creditor payments - year end 2019/20	25				
Purchasing and Payments			55	CRSA 2020/21 In year testing (Mid Year 2020/21)	5	Purchases and Payments are compliant, authorised, accurate and timely.			
				Creditor Payments – in-year testing 2019/20 (carried forward from 2019/20)	0			Draft Issued	Effective
	High	Assurance		Establishment reviews	15	Descriptment processes are transparent and reduct, only hope fide authorised and			
Davrall	High	Assurance	60	CRSA 2020/21 In year testing 2019/20		Recruitment processes are transparent and robust, only bona fide, authorised and accurate payments are made, with effective prevention, detection and recovery of			
Payroll			60	Payroll - Recruit cf		errors			
				In year testing 2020/21 Additional Payments (payroll & allowances)	15 20	Bona fide, effective, efficient and accurate additional payments			
Council Tax			20	Council Tax		Compliance and control, with effective and efficient processes.			
NNDR				NNDR in-year testing (carried forward from 2019/20)	0	Business Rate collection and control is working effectively and efficiently.		Draft Issued	Effective with opportunity for improvement
HB / LHA/ CTRS	High	Assurance	20	Housing Benefit / Local Housing Allowances / Council Tax Reduction Scheme		Effective controls to ensure accurate processing of bona fide claims		Diare issued	Effective with opportunity for improvement
Treasury Management									
Main Accounting									
Income and Debtors Asset Management	_								
Housing Rents									
Total			155		155				
Corporate Governance Assurance - Audit			Original audit plan	Assignment	Days				
Audit of risk management arrangements		Assurance	20	Programme and Project Risk Management	10	Risk management arrangements are effective and operated consistently		Draft Issued	Effective with opportunity for improvement
	 High			Directorate Risk Management	10	Audit of the application of good governance arrangements in COVID-19 Decision			
Audit of governance arrangements		Assurance		Governance arrangements	20	making and contol			
Audit of scrutiny functions	 Medium		0	Governance arrangements (carried forward from 2019/20)  Audit of scrutiny functions (carried forward from 2019/20)		Effective application of the Council's Code of Corporate Governance.  Effective scrutiny activities and outcomes		Draft Issued Draft Issued	Effective with opportunity for improvement  Effective with opportunity for improvement
				Complaints & Compliments	10	·			
Audit of ethics and values	High	Assurance	20	Codes of Conduct  Business and Personal Interests (carried forward from 2019/20)	10	Policy alignment to organisational values, with appropriate disclosures made.		Draft Issued Draft Issued	Effective Effective with opportunity for improvement
Audit of Wellbeing of Future Generations		Assurance	20	Wellbeing of Future Generations		Effective application of Wellbeing of Future Generations requirements.	у		
Audit of performance management		Assurance	0	Performance Management (carried forward from 2019/20)	0	Performance management arrangements are effective, and operated consistently.		Draft Issued	Effective with opportunity for improvement
Audit of Health and Safety									
Audit of Information governance  Total			80		80				
			0	Digital Services - Hybrid Mail cf		Project management arrangements are operating effectively, as per corporate		Draft Issued	Effective with opportunity for improvement
Digital Services	Medium	Assurance	0	Digital Services - Virtual Agent (carried forward from 2019/20)		requirements.		Draft Issued	Effective
Delegation and decision making									
Programme and Projects  Total	Medium	Assurance	20	Programme and Project Governance	20	Effective, clear and consistent project governance arrangements.			
Other Assurance			Original audit	Assignment	Days				
			plan	Cradle to Grave Audit	20				
Contract Audit	Medium	Assurance	40	Contract Monitoring & Management	20	Effective contract compliance, control and delivery of objectives			
Cardiff Bus - governance Education - SOP	Medium	Assurance Assurance	10 15	Cardiff Bus - governance Education - SOP Review of Band B		Section 151 Assurance on governance arrangements  Delivery of objectives, with effective compliance and control			
				Change and patch management controls	15	Effective co-ordination, risk management and control.			
ICT Audit	High	Assurance	50	Payment Card Industry (chip and pin devices)  IT Business Continuity		Effective compliance and control.  Effective co-ordination, risk management and control.			
				IT inventory and asset management (carried forward from 2019/20)	0	Effective IT inventory and asset management controls		Draft Issued	Insufficient with major improvement needed
Value for Money studies		Assurance	30	VFM in Digital Initiatives VFM in use of Council vehicles		Assurance on value for money in digital initiatives  Value for money in use of Council vehicles			
Taxation (incl. VAT)	Medium	Assurance	20	Taxation	20	Effective compliance and control.			
System Development			I 30	System Development					
National Fraud Initiative		TBC Assurance	0	National Fraud Initiative cf		Consultation or assurance services, as relevant.  Data matching counter-fraud exercise.			
National Fraud Initiative  Pensions and Investments	High		0	National Fraud Initiative cf  Pensions and Investment In year testing CF	0	Data matching counter-fraud exercise.			
	High	Assurance	0 0		0	·			
Pensions and Investments Insurance Health and safety	High	Assurance Assurance Assurance	0 0	Pensions and Investment In year testing CF  Insurance	0 0	Data matching counter-fraud exercise.  Effective compliance and control.			
Pensions and Investments Insurance Health and safety Mileage & subsistence	J	Assurance Assurance	0 0	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence	0 0 15	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.		Draft Issued	Insufficient with major improvement needed
Pensions and Investments Insurance Health and safety	High	Assurance Assurance Assurance	0 0	Pensions and Investment In year testing CF  Insurance	0 0 15 15 0	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.		Draft Issued	Insufficient with major improvement needed
Pensions and Investments  Insurance  Health and safety  Mileage & subsistence  Fleet Management (pool cars, grey fleet, etc.)  Procurement  Stores	High High Medium	Assurance Assurance Assurance Assurance Assurance	0 0	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks Equipment Donimions Way Temporary Stores	0 0 15 15 0	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control		Draft Issued	Insufficient with major improvement needed
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Pensions and Investments  Insurance Health and safety Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) Procurement Stores Business Continuity Members' allowances  Business Grants - Assurance TBA  Total  Service specific audits  Service / Process Consultancy	High High Medium High Medium High High High	Assurance Assurance Assurance Assurance Assurance Assurance Assurance Assurance Consultancy	0 0 0 15 15 10 20 15 0 12 282 Original audit plan	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks-Equipment Donimions Way Temporary Stores  Business Continuity & Incident Management  Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy  Asset Management cf  Commissioning and Procurement  Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)  Bereavement Services	0 0 0 15 15 15 15 10 0 0 10 0 0 10 0 0 0	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control  Effective business recovery and incident management systems.  Effective governance and management of Members' allowances  Effective compliance and control in administering Business Grants  TBA  Consultancy support across the Council as services adapt and respond to the service demands of COVID-19  Effective Directorate recording, monitoring, management and control of physical assets  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Follow up Audit  Compliance and control in Bereavement Services	Y	Completed Work in Two Thematic Areas - Work Ongoing  Draft Issued  Draft Issued	No Opinion Provided  Insufficient with major improvement needed  Effective
Pensions and Investments  Insurance Health and safety Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) Procurement Stores Business Continuity Members' allowances  Business Grants - Assurance  TBA  Total  Service specific audits  Service / Process Consultancy	High High Medium High Medium High High High	Assurance Assurance Assurance Assurance Assurance Assurance Assurance Assurance Consultancy	0 0 0 15 15 10 20 15 0 12 282 Original audit plan	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks Equipment Donimions Way Temporary Stores Business Continuity & Incident Management Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy  Asset Management cf  Commissioning and Procurement Income and Debtors  Performance Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Lamby Way Stores - Follow Up (carried forward from 2019/20) Bereavement Services  Asset Management cf	0 0 0 15 15 15 10 0 0 10 0 10 0 15 15 15 15 15 10 0 0 15 15 15 15 15 10 0 0 10 10 0 0 15 15 15 15 10 10 10 10 10 10 15 15 15 10 10 10 10 10 10 15 15 15 10 10 10 10 10 10 10 10 15 15 15 10 10 10 10 10 10 10 10 10 10 10 10 10	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control  Effective business recovery and incident management systems.  Effective governance and management of Members' allowances  Effective compliance and control in administering Business Grants  TBA  Consultancy support across the Council as services adapt and respond to the service demands of COVID-19  Effective Directorate recording, monitoring, management and control of physical assets  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Follow up Audit  Compliance and control in Bereavement Services  Effective Directorate recording, monitoring, management and control of physical assets  Operation of appropriate arrangements to record, monitor and recover sundry debts.	y	Completed Work in Two Thematic Areas - Work Ongoing  Draft Issued  Draft Issued	No Opinion Provided  Insufficient with major improvement needed  Effective
Pensions and Investments  Insurance Health and safety Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) Procurement Stores Business Continuity Members' allowances  Business Grants - Assurance  TBA  Total  Service specific audits  Service / Process Consultancy	High  High  Medium  High  Medium  High  High  Medium  High  Migh	Assurance Assurance Assurance Assurance Assurance Assurance Assurance Assurance Consultancy	0 0 0 15 15 10 20 15 0 12 282 Original audit plan	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks Equipment Donimions Way Temporary Stores Business Continuity & Incident Management  Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy  Asset Management of  Commissioning and Procurement Income and Debtors  Performance Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Lamby Way Stores - Follow Up (carried forward from 2019/20) Bereavement Services  Asset Management of Income and Debtors  Performance Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Bereavement Services  Asset Management of Income and Debtors Performance Management Commissioning and Procurement	0 0 0 15 15 15 10 0 0 15 15 15 15 15 15 15 15 15 15 15 15 15	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control  Effective business recovery and incident management systems.  Effective governance and management of Members' allowances  Effective compliance and control in administering Business Grants  TBA  Consultancy support across the Council as services adapt and respond to the service demands of COVID-19  Effective Directorate recording, monitoring, management and control of physical assets  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Follow up Audit  Compliance and control in Bereavement Services  Effective Directorate recording, monitoring, management and control of physical assets  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements to record, monitor and recover sundry debts.	y	Completed Work in Two Thematic Areas - Work Ongoing  Draft Issued  Draft Issued	No Opinion Provided  Insufficient with major improvement needed  Effective
Pensions and Investments  Insurance Health and safety Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) Procurement Stores Business Continuity Members' allowances  Business Grants - Assurance TBA  Total  Service specific audits  Service / Process Consultancy  Planning, Transportation and Environment	High  High  Medium  High  Medium  High  High  Medium  High  Medium	Assurance Assurance Assurance Assurance Assurance Assurance Assurance Consultancy Assurance	0 0 0 15 15 10 20 15 0 12 282 Original audit plan 100	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks Equipment Donimions Way Temporary Stores Business Continuity & Incident Management  Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy  Asset Management of  Commissioning and Procurement  Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)  Bereavement Services  Asset Management of  Income and Debtors  Performance Management Forliow Up (carried forward from 2019/20)  Bereavement Services  Asset Management of  Income and Debtors  Performance Management	0 0 0 15 15 15 10 0 0 15 15 15 15 15 15 15 15 15 15 15 15 15	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control  Effective business recovery and incident management systems.  Effective governance and management of Members' allowances  Effective compliance and control in administering Business Grants  TBA  Consultancy support across the Council as services adapt and respond to the service demands of COVID-19  Effective Directorate recording, monitoring, management and control of physical assets  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Follow up Audit  Compliance and control in Bereavement Services  Effective Directorate recording, monitoring, management and control of physical assets  Operation of appropriate arrangements to record, monitor and recover sundry debts.	y	Completed Work in Two Thematic Areas - Work Ongoing  Draft Issued  Draft Issued	No Opinion Provided  Insufficient with major improvement needed  Effective
Pensions and Investments  Insurance Health and safety Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) Procurement Stores Business Continuity Members' allowances  Business Grants - Assurance TBA  Total  Service specific audits  Service / Process Consultancy	High  High  Medium  High  Medium  High  High  Medium  High  Medium	Assurance Assurance Assurance Assurance Assurance Assurance Assurance Assurance Consultancy	0 0 0 15 15 10 20 15 0 12 282 Original audit plan	Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Parks Equipment Donimions Way Temporary Stores Business Continuity & Incident Management  Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy  Asset Management cf  Commissioning and Procurement Income and Debtors  Performance Management Pre-Contract Assurance  Health and Safety (carried forward from 2019/20) Lamby Way Stores - Follow Up (carried forward from 2019/20) Bereavement Services  Asset Management cf  Income and Debtors  Performance Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Lamby Grantel Forward from 2019/20)  Bereavement Services  Asset Management cf  Income and Debtors  Performance Management Information Management Information Management Information Management	0 0 0 15 15 15 10 0 0 15 15 15 15 15 15 15 15 15 15 15 15 15	Data matching counter-fraud exercise.  Effective compliance and control.  Accurate claiming and authorisation for reasonable expenditure.  Delivery of service objectives with effective compliance and control.  Effective and efficient stores management, and stock / equipment control  Effective business recovery and incident management systems.  Effective governance and management of Members' allowances  Effective compliance and control in administering Business Grants  TBA  Consultancy support across the Council as services adapt and respond to the service demands of COVID-19  Effective Directorate recording, monitoring, management and control of physical assets  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Follow up Audit  Compliance and control in Bereavement Services  Effective Directorate recording, monitoring, management and control of physical assets  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements to record, monitor and recover sundry debts.  Performance management arrangements to record, monitor and recover sundry debts.  Performance management arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.	y	Completed Work in Two Thematic Areas - Work Ongoing  Draft Issued  Draft Issued	No Opinion Provided  Insufficient with major improvement needed  Effective

I		٦		Flexible Funding in Housing	10	
				Get me home service	15	
	Medium			Independent Living Lettings policy in high rise accommodation	10 10	Delivery of service objectives with effective compliance and control.
	Wiculani			ICF schemes (incl. Familes First)	10	Delivery of service objectives with effective compliance and control.
				Risk Based Verification Libraries	10 10	-
	Hick	A		Asset Management cf	0	Effective Directorate recording, monitoring, management and control of physical assets
	High	Assurance		Health and Safety (carried forward from 2019/20)	0	Directorate health and safety compliance and risk management.
		Consultancy	100	Waste Management Consultancy	15	Advice, guidance and support
People and Communities (Waste Management)				FOLLOW UP - Fly Tipping Gatehouse	15 15	Follow up Audit Compliance and control in gatehouse / weighbridge systems.
	Medium			Commercial Waste Recycling in HWRCs	15 20	Effective systems, compliance and control
		1		FOLLOW UP - Contracts in Waste Management	10	Follow up Audit
		1		Trolleys	10	Effective systems, compliance and control
				Income and Debtors	15	Operation of appropriate arrangements to record, monitor and recover sundry debts.
		Medium	105	Performance Management Information Management	15 15	Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.
				Pre-Contract Assurance	15	Relevant compliance and due diligence checks are undertaken
Economic Development	High			Commissioning and Procurement Corporate Landlord	15 15	Commissioning and Procurement compliance and control  Effective and compliant corporate landlord practices.
				Disposal of Land & Buildings	15	Delivery of objectives with effective compliance and control.
		1		Asset Management (carried forward from 2019/20)	0	Effective Directorate recording, monitoring, management and control of physical assets
		4		Health and Safety (carried forward from 2019/20)  Major Projects Governance (carried forward from 2019/20)	0	Directorate health and safety compliance and risk management.  Operation of appropriate arrangements for Major Projects
	Medium			Film Unit (carried forward from 2019/20)	0	Delivery of service objectives with effective compliance and control.
				Income and Debtors	10	Operation of appropriate arrangements to record, monitor and recover sundry debts.
				Performance Management	15	Performance management arrangements are effective, and operated consistently.
	High			Information Management Pre-Contract Assurance	15 15	Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken
	I ligit			Commissioning and Procurement	15	Commissioning and Procurement compliance and control
				Health and Safety	15	Directorate health and safety compliance and risk management.
		_		Asset Management (carried forward from 2019/20)	0	Effective Directorate recording, monitoring, management and control of physical assets
				British Council Grants Work in individual schools:	20	Effective compliance and control in administering British Council Grants.
				School 1 - Cardiff West		
				School 2 - Ysgol Bro Edern School 3 - Llanedeyrn Primary		
				School 4 - Mary Immaculate	45	Audits of systems of governance and internal control within individual schools
				School 5 - Marlborough Primary School 6 - St. Cuthbert's		
				School 7 - Cantonian		
Education and Lifelong Learning		Assurance	245	Schools CRSA Schools CRSA - Individual School Audits	20	Effective compliance and control Undertake CRSA exercise with all schools.
				CRSA - School 1		
				CRSA - School 2 CRSA - School 3	20	CRSA audits of systems of governance and internal control within individual schools
	Medium			CRSA - School 4		
				Catering in Opted out schools FOLLOW UP - Pontprennau Primary	15 7	Delivery of objectives, with effective compliance and control Follow up Audit
				FOLLOW UP - St Peters R.C Primary	8	Follow up Audit
				FOLLOW UP - Income Procedures in School Kitchens cf School Admissions	15	Follow up Audit  Effective and well governed arrangements for school admissions
				Counter-fraud arrangements - Willows High School (carried forward from 2019/20)	0	Counter-fraud assurance in school governance, transactional, procurement and recruitment activities
				Counter-fraud arrangements - Kitchener Primary School (carried forward from 2019/20)  Cashless catering in secondary schools	10	Effective and controlled arrangements to receive, record and monitor income
				ICT governance for schools - Ysgol Plasmawr (carried forward from 2019/20)	0	Effective ICT Governance mechanisms for compliance, business continuity and control
				Education - Income Processes (carried forward from 2019/20)	0	Effective compliance and control in school income collection.
				Pentyrch Primary School (carried forward from 2019/20)  Music Service - Follow up (carried forward from 2019/20)	0	Full audits of systems of governance and internal control Follow up Audit
				Income and Debtors	10	Operation of appropriate arrangements to record, monitor and recover sundry debts.
				Performance Management	15	Performance management arrangements are effective, and operated consistently.
Governance and Legal Services	High	Assurance	60	Information Management	15	Controlled, effective and compliant information management practices.
				Pre-Contract Assurance Commissioning and Procurement	10	Relevant compliance and due diligence checks are undertaken  Commissioning and Procurement compliance and control
		1		Health and Safety (carried forward from 2019/20)	0	Directorate health and safety compliance and risk management.
				Commissioning and Procurement	10	Commissioning and Procurement compliance and control
				Income and Debtors  Performance Management	10	Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.
Resources			80	Information Management	15 15	Controlled, effective and compliant information management practices.
nesources	High	Assurance		Pre-Contract Assurance		Relevant compliance and due diligence checks are undertaken
	High	Assurance	00		10	Directorate health and safety compliance and risk management
	High	Assurance	30	Resources Health and Safety	10 10	Directorate health and safety compliance and risk management.  Effective Directorate recording, monitoring, management and control of physical assets.
		Assurance	30	Resources Health and Safety  Asset Management (carried forward from 2019/20)	10	Effective Directorate recording, monitoring, management and control of physical assets
Resources (CTS)	High	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)	10 0 10 10	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.
Resources (CTS)				Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement	10 0 10 10 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control
Resources (CTS)				Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors	10 0 10 10 15 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.
Resources (CTS)				Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement	10 0 10 10 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control
Resources (CTS)				Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management Pre-Contract Assurance	10 0 10 10 15 15 15 15 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken
Resources (CTS)	Medium			Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management  Information Management	10 0 10 10 15 15 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.
Resources (CTS)	Medium			Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)	10 0 10 10 15 15 15 15 15 0 0	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.
	Medium	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)	10 0 10 10 15 15 15 15 15 0 0	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments
	Medium			Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)  Asset Management (carried forward from 2019/20)  Safeguarding - Follow up (carried forward from 2019/20)  Early help scheme (impact of FPOC)	10 0 10 10 10 15 15 15 15 0 0 0 0 10 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets
	Medium	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)  Asset Management (carried forward from 2019/20)  Safeguarding - Follow up (carried forward from 2019/20)	10 0 10 10 10 15 15 15 15 0 0 0 0	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets
	Medium	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)  Asset Management (carried forward from 2019/20)  Safeguarding - Follow up (carried forward from 2019/20)  Early help scheme (impact of FPOC)  Social Services - CHAD  Mental Health Day Services  Emergency Duty Team	10 0 10 10 10 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets
Resources (CTS)  Social Services	Medium	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)  Asset Management (carried forward from 2019/20)  Safeguarding - Follow up (carried forward from 2019/20)  Early help scheme (impact of FPOC)  Social Services - CHAD  Mental Health Day Services	10 0 10 10 10 15 15 15 15 0 0 0 15 15 15 15	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets
	Medium	Assurance	10	Resources Health and Safety  Asset Management (carried forward from 2019/20)  Alarm Receiving Centre  Resources (CTS)  Commissioning and Procurement  Income and Debtors  Performance Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20)  Direct Payments (carried forward from 2019/20)  Asset Management (carried forward from 2019/20)  Safeguarding - Follow up (carried forward from 2019/20)  Early help scheme (impact of FPOC)  Social Services - CHAD  Mental Health Day Services Emergency Duty Team  Payments to Care Leavers	10 0 10 10 10 15 15 15 15 0 0 0 0 15 15 15 15 15 20	Effective Directorate recording, monitoring, management and control of physical assets  Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control  Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken  Directorate health and safety compliance and risk management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets  Follow up Audit

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Draft Issued  Draft Issued  Draft Issued  Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective
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Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective  Effective  Effective
Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective  Effective  Effective with opportunity for improvement  Effective with opportunity for improvement
Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective  Effective  Effective with opportunity for improvement  Effective with opportunity for improvement
Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective  Effective  Effective with opportunity for improvement  Effective with opportunity for improvement
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Draft Issued	Effective with opportunity for improvement  No Opinion Provided  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective with opportunity for improvement  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective with opportunity for improvement  Effective with opportunity for improvement needed
Draft Issued	Effective with opportunity for improvement  No Opinion Provided Effective with opportunity for improvement Insufficient with major improvement needed  Effective with opportunity for improvement  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective with opportunity for improvement
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Draft Issued	Effective with opportunity for improvement  No Opinion Provided Effective with opportunity for improvement Insufficient with major improvement needed  Effective Effective with opportunity for improvement  Insufficient with major improvement  Effective with opportunity for improvement  Insufficient with major improvement needed  Effective with opportunity for improvement  Insufficient with opportunity for improvement  Effective with opportunity for improvement

			1	Foster Carers (carried forward from 2019/20)	0		
			<u> </u>	Domiciliary Care (carried forward from 2019/20)	0		
Total			1,135		1,135		
External			Original audit plan	Assignment	Days		
	High			City Deal 2019/20 cf	0	Scope as per rolling SLA	У
	підп			City Deal 2020/21	5	Scope as per rolling SLA	у
				Cardiff Further Education Trust Fund - TBC	2		
External clients		Assurance	20	Norwegian Church Preservation Trust - TBC	2		
External clients		Assurance		Joint Committees	6		
				Provision for other work	5	Grant certification / statement of accounts work	
				Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)	0		
				Cardiff Further Education Trust Fun - 2018/19 (carried forward from 2019/20)	0		
Grants		Assurance	10	General Audit (provision)	10		
Total			30		30		
Contingencies			Original audit plan	Assignment	Days		
General Audit			30	General Audit (provision for carried forward audits)	30		
Total			30		30		
Management			Original audit plan	Assignment	Days		
Corporate work – Audit Committee, WAO etc.		Management	50	Corporate work – Audit Committee, WAO etc.	50		
Assurance mapping		Management	10	Assurance mapping	10		
CRSA development		Management	0	CRSA development	0		
Process development	Madium	Management	20	Process development	20	Internal Audit management, planning, guidance and cunnert activities	
Work for Audit Manager	Medium	Management	30	Work for Audit Manager	30	Internal Audit management, planning, guidance and support activities.	
Planning, monitoring & reporting		Management	30	Planning, monitoring & reporting	30		
Review of financial rules etc.		Management	20	Review of financial rules etc.	20		
General advice and guidance		Management	20	General advice and guidance	20		
Total			180		180		

1,912

1,912

Total chargeable days

Draft Issued	Effective with opportunity for improvement
Draft Issued	Insufficient with major improvement needed
Finalised (x 3 Audits)	No Opinion Provided
Finalised Accounts / Draft Recomendations Issued	No Opinion Provided
Finalised Accounts / Draft Recomendations Issued	No Opinion Provided