AUDIT PLAN, 2020/21

Audit Category	Risk	Engagement Type	Original Audit	Assignment	Days Audit Scope	National Issue	Audit Output Status 30.09.20	Audit Opinion
Fundamental Audits - S151 Assurance			Fian	Creditor payments - year end 2019/20	25			
Purchasing and Payments			55	CRSA 2020/21 In year testing (Mid Year 2020/21)	Purchases and Payments are compliant, authorised, accurate and timely.		Completed	No Opinion
	<u> </u> 			Creditor Payments – in-year testing 2019/20 (carried forward from 2019/20) Establishment reviews	15	-	Final Issued	Effective
	High	Assurance		CRSA 2020/21 In year testing 2019/20	5 Recruitment processes are transparent and robust, only bona fide, authorised and accurate payment	5	Completed	No Opinion
Payroll			60	Payroll - Recruit cf	are made, with effective prevention, detection and recovery of errors		Draft Issued	Effective with opportunity for improvement
				In year testing 2020/21 Additional Payments (payroll & allowances)	<ul> <li>15</li> <li>Bona fide, effective, efficient and accurate additional payments</li> </ul>	-		
Council Tax			20	Council Tax	20 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	20 Effective controls to ensure accurate processing of bona fide claims			
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 Directorate Risk Management	10 Risk management arrangements are effective and operated consistently		Draft Issued Draft Issued	Effective with opportunity for improvement  Effective with opportunity for improvement
Audit of governance arrangements	High			Governance arrangements	20 Audit of the application of good governance arrangements in COVID-19 Decision making and contol			
		Assurance	20	Governance arrangements (carried forward from 2019/20)	0 Effective application of the Council's Code of Corporate Governance.		Final Issued	Effective with opportunity for improvement
Audit of scrutiny functions	Medium		0	Audit of scrutiny functions (carried forward from 2019/20)  Complaints & Compliments	0 Effective scrutiny activities and outcomes 10		Draft Issued Draft Issued	Effective with opportunity for improvement Effective with opportunity for improvement
Audit of ethics and values	High	Assurance	20	Codes of Conduct Business and Personal Interests (carried forward from 2019/20)	Policy alignment to organisational values, with appropriate disclosures made.		Final Issued Draft Issued	Effective  Effective with opportunity for improvement
Audit of Wellbeing of Future Generations	1 "5"	Assurance	20	Wellbeing of Future Generations	20 Effective application of Wellbeing of Future Generations requirements.	У		
Audit of performance management  Audit of Health and Safety		Assurance	0	Performance Management (carried forward from 2019/20)	O Performance management arrangements are effective, and operated consistently.		Final Issued	Effective with opportunity for improvement
Audit of Health and Safety  Audit of Information governance								
Total			80		80			
Digital Services	Medium	Assurance	0	Digital Services - Hybrid Mail cf  Digital Services - Virtual Agent (carried forward from 2019/20)	Project management arrangements are operating effectively, as per corporate requirements.		Draft Issued  Draft Issued	Effective with opportunity for improvement  Effective
Delegation and decision making				Digital Services Virtual Agent (carried forward from 2013/20)			Diale issued	Effective
Programme and Projects  Total	Medium	Assurance	20	Programme and Project Governance	20 Effective, clear and consistent project governance arrangements. 20			
Other Assurance			Original audit	Assignment	Days			
Contract Audit		Assurance	pian 40	Cradle to Grave Audit	20 Effective contract compliance, control and delivery of objectives			
Cardiff Bus - governance	Medium	Assurance	10	Contract Monitoring & Management  Cardiff Bus - governance	20 Section 151 Assurance on governance arrangements	-		
			10		10 Jection 1517/55drance on governance dirangements			
Education - SOP	Medium	Assurance	15	Education - SOP Review of Band B	15 Delivery of objectives, with effective compliance and control	-		
Education - SOP  ICT Audit			15	Education - SOP Review of Band B Change and patch management controls Payment Card Industry (chip and pin devices)	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control.	- - -		
	Medium High	Assurance	15	Education - SOP Review of Band B Change and patch management controls	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control.		Final Issued	Insufficient with major improvement needed
		Assurance	15 50 30	Education - SOP Review of Band B  Change and patch management controls  Payment Card Industry (chip and pin devices)  IT Business Continuity  IT inventory and asset management (carried forward from 2019/20)  VFM in Digital Initiatives	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective co-ordination, risk management and control. 0 Effective IT inventory and asset management controls 15 Assurance on value for money in digital initiatives		Final Issued DEFERRED AUDIT	Insufficient with major improvement needed
ICT Audit  Value for Money studies  Taxation (incl. VAT)		Assurance Assurance Assurance Assurance	15 50 30 20	Education - SOP Review of Band B  Change and patch management controls  Payment Card Industry (chip and pin devices)  IT Business Continuity  IT inventory and asset management (carried forward from 2019/20)  VFM in Digital Initiatives  VFM in use of Council vehicles  Taxation	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective co-ordination, risk management and control. 0 Effective IT inventory and asset management controls 15 Assurance on value for money in digital initiatives 15 Value for money in use of Council vehicles 20 Effective compliance and control.			Insufficient with major improvement needed
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ICT Audit  Value for Money studies  Taxation (incl. VAT)  System Development	High	Assurance Assurance Assurance TBC	30 30 20 30 0	Education - SOP Review of Band B  Change and patch management controls  Payment Card Industry (chip and pin devices)  IT Business Continuity  IT inventory and asset management (carried forward from 2019/20)  VFM in Digital Initiatives  VFM in use of Council vehicles  Taxation  System Development	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective co-ordination, risk management and control. 0 Effective IT inventory and asset management controls 15 Assurance on value for money in digital initiatives 15 Value for money in use of Council vehicles 20 Effective compliance and control. 30 Consultation or assurance services, as relevant.			Insufficient with major improvement needed  Effective with opportunity for improvement
ICT Audit  Value for Money studies  Taxation (incl. VAT)  System Development  National Fraud Initiative  Pensions and Investments  Insurance	High Medium	Assurance Assurance Assurance TBC Assurance	30 30 20 30 0 0	Education - SOP Review of Band B  Change and patch management controls  Payment Card Industry (chip and pin devices)  IT Business Continuity  IT inventory and asset management (carried forward from 2019/20)  VFM in Digital Initiatives  VFM in use of Council vehicles  Taxation  System Development  National Fraud Initiative cf	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective co-ordination, risk management and control. 0 Effective IT inventory and asset management controls 15 Assurance on value for money in digital initiatives 15 Value for money in use of Council vehicles 20 Effective compliance and control. 30 Consultation or assurance services, as relevant. 0 Data matching counter-fraud exercise.		DEFERRED AUDIT	
ICT Audit  Value for Money studies  Taxation (incl. VAT)  System Development  National Fraud Initiative  Pensions and Investments  Insurance  Health and safety  Mileage & subsistence	High Medium High	Assurance  Assurance  Assurance  Assurance  TBC  Assurance  Assurance  Assurance	30 20 30 0	Education - SOP Review of Band B  Change and patch management controls Payment Card Industry (chip and pin devices)  IT Business Continuity IT inventory and asset management (carried forward from 2019/20)  VFM in Digital Initiatives VFM in use of Council vehicles  Taxation  System Development  National Fraud Initiative cf Pensions and Investment In year testing CF  Insurance  Mileage & subsistence	15 Delivery of objectives, with effective compliance and control  15 Effective co-ordination, risk management and control.  15 Effective compliance and control.  20 Effective co-ordination, risk management and control.  0 Effective IT inventory and asset management controls  15 Assurance on value for money in digital initiatives  15 Value for money in use of Council vehicles  20 Effective compliance and control.  30 Consultation or assurance services, as relevant.  0 Data matching counter-fraud exercise.  0 Effective compliance and control.  15 Accurate claiming and authorisation for reasonable expenditure.		DEFERRED AUDIT  Draft Issued	Effective with opportunity for improvement
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ICT Audit  Value for Money studies  Taxation (incl. VAT) System Development National Fraud Initiative  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	High  High  High  High  Medium  High  Medium  High  Medium  High	Assurance  Assurance  Assurance  TBC  Assurance	30 20 30 0 0 15 15 10 20 15 0 12 282 Original audit plan	Education - SOP Review of Band B Change and patch management controls Payment Card Industry (chip and pin devices) IT Business Continuity IT inventory and asset management (carried forward from 2019/20) VFM in Digital Initiatives VFM in use of Council vehicles Taxation System Development National Fraud Initiative cf Pensions and Investment In year testing CF  Insurance Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Dominions 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	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 20 Effective condination, risk management and control. 20 Effective co-ordination, risk management and control. 20 Effective IT inventory and asset management controls 21 Assurance on value for money in digital initiatives 22 Effective compliance and control. 33 Consultation or assurance services, as relevant. 40 Data matching counter-fraud exercise. 50 Effective compliance and control. 51 Accurate claiming and authorisation for reasonable expenditure. 50 Delivery of service objectives with effective compliance and control. 51 Effective and efficient stores management, and stock / equipment control. 52 Effective business recovery and incident management systems. 51 Effective governance and management of Members' allowances 51 Effective compliance and control in administering Business Grants 51 O TBA 5282 52 Days 53 Consultancy support across the Council as services adapt and respond to the service demands of COVID 19 54 Effective Directorate recording, monitoring, management and control of physical assets 54 Commissioning and Procurement compliance and control	y	Draft Issued  Draft Issued	Effective with opportunity for improvement  Insufficient with major improvement needed
ICT Audit  Value for Money studies  Taxation (incl. VAT) System Development National Fraud Initiative  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	High  High  High  High  Medium  High  Medium  High  Medium  High	Assurance  Assurance  Assurance  TBC  Assurance	30 20 30 0 0 15 15 10 20 15 0 12 282 Original audit plan	Education - SOP Review of Band B Change and patch management controls Payment Card Industry (chip and pin devices) IT Business Continuity IT inventory and asset management (carried forward from 2019/20) VFM in Digital Initiatives VFM in Digital Initiatives VFM in use of Council vehicles Taxation System Development National Fraud Initiative cf Pensions and Investment In year testing CF  Insurance Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Dominions Way Temporary Stores Business Continuity & Incident Management Members' Allowances  Business Grants - Assurance  TBA  Assignment  Provision of Service / Process Consultancy Asset Management cf	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective co-ordination, risk management and control. 20 Effective in inventory and asset management controls 21 Assurance on value for money in digital initiatives 22 Effective compliance and control. 33 Consultation or assurance services, as relevant. 40 Data matching counter-fraud exercise. 50 Effective compliance and control. 51 Accurate claiming and authorisation for reasonable expenditure. 51 O Delivery of service objectives with effective compliance and control. 52 Effective and efficient stores management, and stock / equipment control. 53 Effective business recovery and incident management systems. 54 Effective governance and management of Members' allowances 55 Effective compliance and control in administering Business Grants 56 O TBA 57 Days 58 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	y	Draft Issued  Draft Issued  Draft Issued  Completed work in three thematic areas - work ongoing  Final Issued	Insufficient with major improvement needed  No Opinion Provided  Insufficient with major improvement needed
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ICT Audit  Value for Money studies  Taxation (incl. VAT) System Development National Fraud Initiative  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  High  Medium  High  Medium  High  High  Medium  High  Medium  High	Assurance  Assurance  Assurance  TBC  Assurance  Assurance  Assurance  Assurance  Assurance  Assurance  Assurance  Assurance  Consultancy	30 20 30 0 0 15 15 10 20 15 0 12 282 Original audit plan 100	Education - SOP Review of Band B Change and patch management controls Payment Card Industry (chip and pin devices) IT Business Continuity IT inventory and asset management (carried forward from 2019/20) VFM in Digital Initiatives VFM in Digital Initiatives VFM in use of Council vehicles Taxation System Development National Fraud Initiative of Pensions and Investment In year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)  Dominions 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 Information Management Information Management Pre-Contract Assurance Health and Safety (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 Pre-Contract Assurance Health and Safety (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) Flexible Funding in Housing	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 15 Effective compliance and control. 20 Effective Co-ordination, risk management and control. 21 Effective Co-ordination, risk management and control. 22 Effective Co-ordination, risk management and control. 23 Effective Co-ordination, risk management controls 24 Effective Compliance and control. 25 Assurance on value for money in digital initiatives 26 Effective compliance and control. 27 Effective compliance and control. 28 Effective compliance and control. 29 Effective compliance and control. 20 Effective compliance and control. 20 Effective compliance and control. 21 Accurate claiming and authorisation for reasonable expenditure. 20 Delivery of service objectives with effective compliance and control. 29 Effective and efficient stores management, and stock / equipment control. 20 Effective business recovery and incident management systems. 21 Effective governance and management of Members' allowances 22 Effective compliance and control in administering Business Grants 28 Days 282 29 Days 20 Consultancy support across the Council as services adapt and respond to the service demands of COVID 19 20 Effective Directorate recording, monitoring, management and control of physical assets 25 Commissioning and Procurement compliance and control 26 Consultancy support across the Council as services adapt and respond to the service demands of COVID 19 28 Effective Directorate recording, monitoring, management and control of physical assets 29 Controlled, effective and compliant information management practices. 20 Deration of appropriate arrangements to record, monitor and recover sundry debts. 21 Performance management arrangements are effective, and operated consistently. 22 Controlled, effective and compliant information management practices. 23 Departs on deportance arrangements to record, monitor and recover sundry debts. 24 Performance management arrangements are effective, and operated consi	y	Draft Issued  Draft Issued  Draft Issued  Completed work in three thematic areas - work ongoing  Final Issued Draft Issued  Deferred Audit Deferred Audit Deferred Audit Deferred Audit Draft Issued Deferred Audit	Insufficient with major improvement needed  No Opinion Provided 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 needed Effective with opportunity for improvement
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ICT Audit  Value for Money studies  Taxation (incl. VAT) System Development National Fraud Initiative 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  High  Medium  High  Medium  High  High  Medium  High  Medium  High	Assurance  Assurance  Assurance  TBC  Assurance  Assurance	30 20 30 0 0 15 15 10 20 15 0 12 282 Original audit plan 100	Education - SOP Review of Band B Change and patch management controls Payment Card Industry (chip and pin devices) IT Business Continuity IT inventory and asset management (carried forward from 2019/20) VFM in Digital Initiatives VFM in Digital Initiatives VFM in use of Council vehicles Taxation System Development National Fraud Initiative of Pensions and Investment in year testing CF  Insurance  Mileage & subsistence Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20) Dominions 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 Information Management Information Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Bereavement Services Asset Management of Income and Debtors Performance Management Information Management Information Management Income and Debtors Performance Management Information Management Income and Debtors Performance Management Information Management Information Management Pre-Contract Assurance Health and Safety (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 Performance Management Pre-Contract Assurance Health and Safety (carried forward from 2019/20) Bereavement Services Performance Management Pre-Contract Assurance	15 Delivery of objectives, with effective compliance and control 15 Effective co-ordination, risk management and control. 16 Effective co-ordination, risk management and control. 20 Effective co-ordination, risk management and control. 20 Effective co-ordination, risk management and control. 30 Effective if inventory and asset management controls 31 Assurance on value for money in digital initiatives 32 Delivery of several control. 33 Consultation or assurance services, as relevant. 34 Consultation or assurance services, as relevant. 35 Value for money in digital initiatives 46 Effective compliance and control. 47 Effective compliance and control. 48 Effective compliance and control. 49 Effective compliance and control. 40 Effective compliance and control. 40 Delivery of service objectives with effective compliance and control. 40 Delivery of service objectives with effective compliance and control. 40 Effective business recovery and incident management systems. 41 Effective business recovery and incident management systems. 41 Effective compliance and control in administering Business Grants 40 TBA 482 482 483 484 485 486 487 488 488 489 489 499 599 50 Consultancy support across the Council as services adapt and respond to the service demands of COVID 19 50 Effective Directorate recording, monitoring, management and control of physical assets Commissioning and Procurement compliance and control 51 Commissioning and Procurement compliance and control 52 Commissioning and Procurement compliance and control 53 Operation of appropriate arrangements to record, monitor and recover sundry debts. 54 Controlled, effective and compliant information management practices. 55 Performance management arrangements are effective, and operated consistently. 56 Controlled, effective and compliance and risk management. 57 Compliance and control in Bereavement Services 58 Controlled, effective and compliance and risk management. 59 Controlled, effective and compliance and risk management. 50 Effective Directorate recording, monito	y	Draft Issued  Draft Issued  Draft Issued  Completed work in three thematic areas - work ongoing  Final Issued Draft Issued  Draft Issued  Deferred Audit Deferred Audit Deferred Audit Draft Issued Deferred Audit Deferred Audit Deferred Audit Deferred Audit Deferred Audit Deferred Audit	Insufficient with major improvement needed  No Opinion Provided 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 needed Effective with opportunity for improvement

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İ				Risk Based Verification Libraries	10 10	Delivery of service objectives with effective compliance and control.
		Consultancy		Private Rental Leasing Scheme	5	Effective Directorate recording reco
	High	Assurance		Asset Management cf Health and Safety (carried forward from 2019/20)	0	Effective Directorate recording, monitoring, management and control of physical assets  Directorate health and safety compliance and risk management.
		Consultancy	]	Waste Management Consultancy	15	Advice, guidance and support
conomic Development (Waste Management)			100	FOLLOW UP - Fly Tipping Gatehouse	15 15	Follow up Audit Compliance and control in gatehouse / weighbridge systems.
conomic perenopment (waste management)	Medium			Commercial Waste	15	Effective systems, compliance and control
				Recycling in HWRCs FOLLOW UP - Contracts in Waste Management	20	Effective systems, compliance and control
				Trolleys	10 10	Follow up Audit Effective systems, compliance and control
				Income and Debtors	15	Operation of appropriate arrangements to record, monitor and recover sundry debts.
				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
	High		405	Commissioning and Procurement	15	Commissioning and Procurement compliance and control
conomic Development		Medium	105	Corporate Landlord Disposal of Land & Buildings	15 15	Effective and compliant corporate landlord practices.  Delivery of objectives with effective compliance and control.
				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 Information Management	15 15	Performance management arrangements are effective, and operated consistently.  Controlled, effective and compliant information management practices.
	High			Pre-Contract Assurance	15	Relevant compliance and due diligence checks are undertaken
				Commissioning and Procurement  Health and Safety	15	Commissioning and Procurement compliance and control  Directorate health and safety compliance and risk management.
				Asset Management (carried forward from 2019/20)	15 0	Effective Directorate recording, monitoring, management and control of physical assets
		1		British Council Grants	20	Effective compliance and control in administering British Council Grants.
				Work in individual schools: School 1 - Cardiff West		
				School 2 - Ysgol Bro Edern		
				School 3 - Llanedeyrn Primary	45	Audits of systems of governance and internal control within individual schools
				School 4 - Mary Immaculate School 5 - Marlborough Primary		
				School 6 - St. Cuthbert's		
				School 7 - Cantonian Schools CRSA	20	Effective compliance and control
Education and Lifelong Learning		Assurance	245	Schools CRSA - Individual School Audits	20	Undertake CRSA exercise with all schools.
				CRSA - School 1		
	Medium			CRSA - School 2 CRSA - School 3	20	CRSA audits of systems of governance and internal control within individual schools
				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	0	Follow up Audit
				School Admissions Counter-fraud arrangements - Willows High School (carried forward from 2019/20)	15 0	Effective and well governed arrangements for school admissions
				Counter-fraud arrangements - Kitchener Primary School (carried forward from 2019/20)	0	Counter-fraud assurance in school governance, transactional, procurement and recruitment activities
				Income collection in schools – Cardiff High  Cashless catering in secondary schools	10	Effective compliance and control  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
				Pentyrch Primary School (carried forward from 2019/20)	0	Full audits of systems of governance and internal control
		<del>                                     </del>		Music Service - Follow up (carried forward from 2019/20) Income and Debtors	10	Follow up Audit 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 Pre-Contract Assurance	15	Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken
				Commissioning and Procurement	10	Commissioning and Procurement compliance and control
				Health and Safety (carried forward from 2019/20)	0	Directorate health and safety compliance and risk management.  Commissioning and Procurement compliance and control
				Commissioning and Procurement Income and Debtors	10 10	Operation of appropriate arrangements to record, monitor and recover sundry debts.
				Performance Management	15	Performance management arrangements are effective, and operated consistently.
Resources	High	Assurance	80	Information Management Pre-Contract Assurance	15 10	Controlled, effective and compliant information management practices.  Relevant compliance and due diligence checks are undertaken
				Resources Health and Safety	10	Directorate health and safety compliance and risk management.
		1	ı	2010/20)		Effective Directorate recording, monitoring, management and control of physical assets
Resources (CTS)	1	4		Asset Management (carried forward from 2019/20)	0	Effective Directorate recording, monitoring, management and control of physical assets
	Medium	Assurance	10	Alarm Receiving Centre	0 10 10	Delivery of service orjectives with effective compliance and control.
	Medium	Assurance	10	Alarm Receiving Centre Resources (CTS) Commissioning and Procurement	0 10 10 15	Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control
	Medium	Assurance	10	Alarm Receiving Centre Resources (CTS) Commissioning and Procurement Income and Debtors	0 10 10 15 15	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.
	Medium	Assurance	10	Alarm Receiving Centre Resources (CTS) Commissioning and Procurement	0 10 10 15	Delivery of service orjectives with effective compliance and control.  Commissioning and Procurement compliance and control
	Medium  High	Assurance	10	Alarm Receiving Centre Resources (CTS) Commissioning and Procurement Income and Debtors Performance Management Information Management Pre-Contract Assurance	0 10 10 15 15 15	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
		Assurance	10	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)	0 10 10 15 15 15 15	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.
		Assurance	10	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)	0 10 10 15 15 15 15	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
		Assurance	10	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)	0 10 10 15 15 15 15 15 0 0 0	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
Social Services		Assurance	205	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)	0 10 10 15 15 15 15 15 0 0	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
Social Services				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	0 10 10 15 15 15 15 15 0 0 0 0 0 15 15	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  Delivery of service objective with effective compliance and control
Social Services				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	0 10 10 10 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services				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 Children's Placements (including out of county)	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 20 20	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services	High			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  Children's Placements (including out of county)  Residential Care	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 20 20 15	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
ocial Services	High			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 Children's Placements (including out of county)	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 20 20	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services	High			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  Children's Placements (including out of county)  Residential Care  Workforce Development - TBC  Learning Disabilities (carried forward from 2019/20)  Foster Carers (carried forward from 2019/20)	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15 15 15 15 15 15 15	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
	High		205	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 Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20)	0 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15 15 15 15 15 15 0 0 0 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Total	High			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 Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)	0 10 10 15 15 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15 15 15 15 15 17 15 15 15 15 15 15 15 15 15 15 15 15 15	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
	High		205	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) Sareyuarding - Follow up (carried forward from 2019/20) Social Services - CHAD Mental Health Day Services Emergency Duty Team Payments to Care Leavers Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Poster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 0 0 0 15 15 15 0 0 0 15 15 15 Days	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Total	High		205  1,135  Original audit	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) Safeguarding - Follow up (carried forward from 2019/20) Safeguarding - Follow up (carried forward from 2019/20) Sarly help scheme (impact of FPOC) Social Services - CHAD Mental Health Day Services Emergency Duty Team Payments to Care Leavers Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Poster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment City Deal 2019/20 cf	0 10 10 15 15 15 15 15 15 0 0 0 0 15 15 15 15 15 15 15 15 15 15 15 17 15 15 15 15 15 15 15 15 15 15 15 15 15	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Secope as per rolling SLA
Total	High		205  1,135  Original audit	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) Sareyuarding - Follow up (carried forward from 2019/20) Social Services - CHAD Mental Health Day Services Emergency Duty Team Payments to Care Leavers Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Poster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)	0 10 10 10 15 15 15 15 15 0 0 0 0 15 15 15 15 15 0 0 0 15 15 15 0 0 0 15 15 15 Days	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Total  External	High		205  1,135  Original audit	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) Safeguarding - Follow up (carried forward from 2019/20) Social Services - CHAD Mental Health Day Services Emergency Duty Team Payments to Care Leavers Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Foster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC Norwegian Church Preservation Trust - TBC	0 10 10 10 15 15 15 15 15 15 0 0 0 0 0 15 15 15 15 15 0 0 0 15 15 0 0 0 1,135  Days 0 5	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Secope as per rolling SLA
Total  External	High	Assurance	1,135 Original audit plan	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) Sarly help scheme (impact of FPOC) Social Services - CHAD Mental Health Day Services Emergency Duty Team Payments to Care Leavers Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Foster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC	0 10 10 10 15 15 15 15 15 0 0 0 0 0 15 15 15 15 15 0 0 0 15 15 15 0 0 15 15 0 0 0 5 2	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Secope as per rolling SLA
Total  External  External clients	High	Assurance	1,135 Original audit plan	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 Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Foster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)	0 10 10 10 15 15 15 15 15 15 0 0 0 0 0 15 15 15 15 15 15 0 0 0 15 15 15 0 0 15 15 20 20 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Scope as per rolling SLA
Total  External  External clients  Grants	High	Assurance	1,135 Original audit plan  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 Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Foster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment  City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC Joint Committees Education Improvement Grant	0 10 10 10 15 15 15 15 15 15 0 0 0 0 0 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Scope as per rolling SLA
	High	Assurance	1,135 Original audit plan	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 Children's Placements (including out of county) Residential Care Workforce Development - TBC Learning Disabilities (carried forward from 2019/20) Foster Carers (carried forward from 2019/20) Domiciliary Care (carried forward from 2019/20)  Assignment City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)	0 10 10 10 15 15 15 15 15 15 0 0 0 0 0 15 15 15 15 15 15 0 0 0 15 15 15 0 0 15 15 20 20 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Scope as per rolling SLA

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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	Medium	Management	20	Process development	20	Internal Audit management, planning, guidance and support activities.	
Work for Audit Manager	ivieulum	Management	30	Work for Audit Manager	30	internal Addit 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		
					<u> </u>		•
Total chargeable days			1,912		1,912		