AUDIT PLAN, 2020/21
Appendix B

Audit Category						
Fundamental Audits - S151 Assurance	Risk	Engagement Type Original Aud	lit Plan Assignment	Days Audit Scope National Issue	Audit Output Status 31.12.20	Audit Opinion
			Creditor payments - year end 2019/20 CRSA 2020/21	25	Completed	No Opinion Provided
Purchasing and Payments		55	In year testing (Mid Year 2020/21)	Purchases and Payments are compliant, authorised, accurate and timely.  25	·	·
	_	<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	S Recruitment processes are transparent and robust, only bona fide, authorised and accurate payments are made, with	Completed Draft Issued	No Opinion Provided  Effective
Payroll		60	In year testing 2019/20 Payroll - Recruit cf	effective prevention, detection and recovery of errors	Final Issued	Effective with opportunity for improvement
			In year testing 2020/21 Additional Payments (payroll & allowances)	15 20 Page fide effective efficient and accurate additional normants	Draft Issued Draft Issued	Effective
Council Tax		20		20 Bona fide, effective, efficient and accurate additional payments 20 Compliance and control, with effective and efficient processes.	Diaitissueu	Effective with opportunity for improvement
NNDR			NNDR in-year testing (carried forward from 2019/20)	0 Business Rate collection and control is working effectively and efficiently.	Final 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	Fillal Issueu	Effective with opportunity for improvement
Treasury Management						
Main Accounting						
Main Accounting						
Income and Debtors Asset Management						
Housing Rents		445				
Total  Corporate Governance Assurance - Audit		155 Original audi		Days Days		
•		Original audi	Programme and Project Risk Management	10	Draft Issued	Effective with opportunity for improvement
Audit of risk management arrangements		Assurance 20	Directorate Risk Management	Risk management arrangements are effective and operated consistently  10	Draft Issued	Effective with opportunity for improvement
Audit of governance arrangements	High	20	Governance arrangements	Audit of the application of good governance arrangements in COVID-19 Decision making and contol	Final Issued	Effective
Audit of scrutiny functions	Medium	Assurance 0	Governance arrangements (carried forward from 2019/20)  Audit of scrutiny functions (carried forward from 2019/20)	0 Effective application of the Council's Code of Corporate Governance. 0 Effective scrutiny activities and outcomes	Final Issued  Draft Issued	Effective with opportunity for improvement  Effective with opportunity for improvement
	Wicdidiff		Complaints & Compliments	10	Final Issued	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)	10 Policy alignment to organisational values, with appropriate disclosures made.  0	Final Issued  Draft Issued	Effective  Effective with opportunity for improvement
Audit of Wellbeing of Future Generations		Assurance 20	Wellbeing of Future Generations	20 Effective application of Wellbeing of Future Generations requirements.		
Audit of Dealth and Safaty		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 Information governance						
Audit of Information governance  Total		80		80		
Digital Services	Medium	Assurance 0	Digital Services - Hybrid Mail cf	O Project management arrangements are operating effectively, as per corporate requirements.	Draft Issued	Effective with opportunity for improvement
Delegation and decision making		0	Digital Services - Virtual Agent (carried forward from 2019/20)		Final Issued	Effective
Programmes and Projects	Medium	Assurance 20	Programme and Project Governance	20 Effective, clear and consistent project governance arrangements.	Draft Issued	Effective with opportunity for improvement
Total		20				
Other Assurance		Original aud	<u> </u>	Days		
Contract Audit	Medium	Assurance 40	Cradle to Grave Audit Contract Monitoring & Management	Effective contract compliance, control and delivery of objectives		
Cardiff Bus - governance Education - SOP	Medium	Assurance 10 Assurance 15	Cardiff Bus - governance Education - SOP Review of Band B	10 Section 151 Assurance on governance arrangements 15 Delivery of objectives, with effective compliance and control		
Eddedion 301	Wiedidiii	7.534141166	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	15 Effective compliance and control. 20 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	Final Issued	Insufficient with major improvement needed
Value for Money studies		Assurance 30	VFM in Digital Initiatives  VFM in use of Council vehicles	5 Assurance on value for money in digital initiatives  15 Value for money in use of Council vehicles	DEFERRED AUDIT	
Taxation (incl. VAT) System Development	Medium	Assurance 20 TBC 30	Taxation System Development	20 Effective compliance and control. 30 Consultation or assurance services, as relevant.		
National Fraud Initiative		Participation 0	National Fraud Initiative	10 Data matching counter-fraud exercise.		
Pensions and Investments	High	Assurance 0	Pensions and Investment In year testing CF	0 Effective compliance and control.	Final Issued	Effective with opportunity for improvement
Insurance	High	Assurance 15	Insurance	15		
Health and safety Mileage & subsistence	High	Assurance 15	Mileage & subsistence	15 Accurate claiming and authorisation for reasonable expenditure.	Draft Issued	Insufficient with major improvement needed
Fleet Management (pool cars, grey fleet, etc.)			Fleet Management (pool cars, grey fleet, etc.) (carried forward from 2019/20)	0 Delivery of service objectives with effective compliance and control.	Draft Issued	Insufficient with major improvement needed
Procurement Stores	Medium	Assurance 10	Dominions Way Temporary Stores	10 Effective and efficient stores management, and stock / equipment control		
Business Continuity	High	Assurance 20	Business Continuity & Incident Management	20 Effective business recovery and incident management systems.  y		
Members' allowances Business Grants - Assurance	Medium High	Assurance 15 Assurance 0	Members' Allowances  Business Grants - Assurance	15 Effective governance and management of Members' allowances  12 Effective compliance and control in administering Business Grants	Draft Issued	Effective
TBA		Assurance 12		O TBA		
Total Service specific audits		282		Dave		
Service specific audits  Service / Process Consultancy	High	Consultancy 100	Assignment  Provision of Service / Process Consultancy	Days  100 Consultancy support across the Council as services adapt and respond to the service demands of COVID-19	Completed work in three thematic areas - work ongoing	No Opinion Provided
Service / 1700035 Consultantly	THE	Consultancy 100	Asset Management cf	0 Effective Directorate recording, monitoring, management and control of physical assets	Final Issued	Insufficient with major improvement needed
			Commissioning and Procurement Income and Debtors	15 Commissioning and Procurement compliance and control  15 Operation of appropriate arrangements to record, monitor and recover sundry debts.	Final Issued	Effective with opportunity for improvement
Planning Transportation and Environment	High	Assurance	Performance Management	15 Performance management arrangements are effective, and operated consistently.	DEFERRED AUDIT DEFERRED AUDIT	
Planning, Transportation and Environment		Assurance 80	Information Management Pre-Contract Assurance	15 Controlled, effective and compliant information management practices.  10 Relevant compliance and due diligence checks are undertaken	DEFERRED AUDIT	
		-	Health and Safety (carried forward from 2019/20)  Lamby Way Stores - Follow Up (carried forward from 2019/20)	0 Directorate health and safety compliance and risk management. 0 Follow up Audit	Final Issued Final Issued	Effective with opportunity for improvement  Effective with opportunity for improvement
	Medium		Bereavement Services	10 Compliance and control in Bereavement Services	Final Issued	Insufficient with major improvement needed
			Asset Management cf Income and Debtors	0 Effective Directorate recording, monitoring, management and control of physical assets 15 Operation of appropriate arrangements to record, monitor and recover sundry debts.	Final Issued Draft Issued	Effective with opportunity for improvement  Effective with opportunity for improvement
	∐iah		Performance Management  Commissioning and Procurement	15 Performance management arrangements are effective, and operated consistently.	DEFERRED AUDIT	
	High		Information Management	15 Commissioning and Procurement compliance and control 15 Controlled, effective and compliant information management practices.	Draft Issued DEFERRED AUDIT	Effective
			Pre-Contract Assurance Health and Safety (carried forward from 2019/20)	15 Relevant compliance and due diligence checks are undertaken  0 Directorate health and safety compliance and risk management.	DEFERRED AUDIT Final Issued	Effective
People and Communities		Assurance 150	Flexible Funding in Housing	10 Delivery of service objectives with effective compliance and control.	DEFERRED AUDIT	Lifective
			Get me home service Independent Living	15 Delivery of service objectives with effective compliance and control.  10 Delivery of service objectives with effective compliance and control.	DEFERRED AUDIT	
	Medium		Lettings policy in high rise accommodation  ICF schemes (incl. Familes First)	5 Delivery of service objectives with effective compliance and control.	DEFERRED AUDIT	
			Risk Based Verification	10 10 Delivery of service objectives with effective compliance and control.		
		Consultancy	Libraries Private Rental Leasing Scheme	10 5 5	Completed	No Opinion Provided
	High	Assurance	Asset Management cf	0 Effective Directorate recording, monitoring, management and control of physical assets	Final Issued	Insufficient with major improvement needed
		Consultancy	Health and Safety (carried forward from 2019/20) Waste Management Consultancy	0 Directorate health and safety compliance and risk management.  15 Advice, guidance and support	Final Issued	Insufficient with major improvement needed
Franchic Davelonment (Masta Managament)			FOLLOW UP - Fly Tipping	15 Follow up Audit	Draft Issued	Insufficient with major improvement needed
Economic Development (Waste Management)	Medium	100	Commercial Waste	15 Compliance and control in gatehouse / weighbridge systems.  15 Effective systems, compliance and control	Draft Issued DEFERRED AUDIT	Insufficient with major improvement needed
			Recycling in HWRCs FOLLOW UP - Contracts in Waste Management	20 Effective systems, compliance and control 10 Follow up Audit	Draft Issued	Effective with opportunity for improvement
			Trolleys	10 Effective systems, compliance and control	Final Issued	Effective with opportunity for improvement
			Income and Debtors  Performance Management	15 Operation of appropriate arrangements to record, monitor and recover sundry debts.  15 Performance management arrangements are effective, and operated consistently.	Draft Issued  DEFERRED AUDIT	Effective with opportunity for improvement
		<u>I</u>				
			Information Management Pre-Contract Assurance	15 Controlled, effective and compliant information management practices.  15 Relevant compliance and due diligence checks are undertaken	DEFERRED AUDIT DEFERRED AUDIT	

•	High			Commissioning and Dunasurament		
Feen amia Davidanmant	111911	Madium	105	Commissioning and Procurement		Commissioning and Procurement compliance and control
Economic Development		Medium	105	Corporate Landlord Disposal of Land & Buildings		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
				Health and Safety (carried forward from 2019/20)		Directorate health and safety compliance and risk management.
	Medium			Major Projects Governance (carried forward from 2019/20) Film Unit (carried forward from 2019/20)		Operation of appropriate arrangements for Major Projects
				Income and Debtors		Delivery of service objectives with effective compliance and control.  Operation of appropriate arrangements to record, monitor and recover sundry debts.
				Performance Management		Performance management arrangements are effective, and operated consistently.
				Information Management		Controlled, effective and compliant information management practices.
	High			Pre-Contract Assurance		Relevant compliance and due diligence checks are undertaken
				Commissioning and Procurement Health and Safety		Commissioning and Procurement compliance and control  Directorate health and safety compliance and risk management.
				Asset Management (carried forward from 2019/20)		Effective Directorate recording, monitoring, management and control of physical assets
				British Council Grants		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 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	1 /45	Schools CRSA		Effective compliance and control
				Schools CRSA - Individual School Audits		Undertake CRSA exercise with all schools.
				CRSA - School 1 CRSA - School 2		
	Medium			CRSA - School 3	20	CRSA audits of systems of governance and internal control within individual schools
	<del></del>			CRSA - School 4		
				Catering in Opted out schools		Delivery of objectives, with effective compliance and control
				FOLLOW UP - Pontprennau Primary		Follow up Audit
				FOLLOW UP - St Peters R.C Primary FOLLOW UP - Income Procedures in School Kitchens cf		Follow up Audit
				School Admissions		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 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		Effective compliance and control
				Cashless catering in secondary schools		Effective and controlled arrangements to receive, record and monitor income
				ICT governance for schools - Ysgol Plasmawr (carried forward from 2019/20)		Effective ICT Governance mechanisms for compliance, business continuity and control
				Pentyrch Primary School (carried forward from 2019/20)  Music Service - Follow up (carried forward from 2019/20)		Full audits of systems of governance and internal control Follow up Audit
			1	Income and Debtors		Operation of appropriate arrangements to record, monitor and recover sundry debts.
		Assurance	60	Performance Management		Performance management arrangements are effective, and operated consistently.
Governance and Legal Services	High			Information Management		Controlled, effective and compliant information management practices.
Covernance and Legar Services	6	7.1550.1.0.155		Pre-Contract Assurance		Relevant compliance and due diligence checks are undertaken
				Commissioning and Procurement  Health and Safety (carried forward from 2019/20)		Commissioning and Procurement compliance and control
			1	Health and Safety (carried forward from 2019/20)  Commissioning and Procurement		Directorate health and safety compliance and risk management.  Commissioning and Procurement compliance and control
				Income and Debtors		Operation of appropriate arrangements to record, monitor and recover sundry debts.
				Performance Management		Performance management arrangements are effective, and operated consistently.
Resources	High	Assurance	80	Information Management	15	Controlled, effective and compliant information management practices.
nesources		Assurance		Pre-Contract Assurance		Relevant compliance and due diligence checks are undertaken
				Resources Health and Safety		Directorate health and safety compliance and risk management.
				Asset Management (carried forward from 2019/20)	10	Effective Directorate recording, monitoring, management and control of physical assets
/070	Medium	Assurance	10	Alarm Receiving Centre Resources (CTS)	10	Delivery of service orjectives with effective compliance and control.
IKesources (CTS)		Assurance	10		10	Commissioning and Procurement compliance and control
Resources (CTS)				Commissioning and Procurement	15	continissioning and Procurement compliance and control
Kesources (CTS)				Commissioning and Procurement Income and Debtors		Operation of appropriate arrangements to record, monitor and recover sundry debts.
Kesources (CTS)				Income and Debtors Performance Management	15 15	Operation of appropriate arrangements to record, monitor and recover sundry debts.  Performance management arrangements are effective, and operated consistently.
Kesources (CTS)	110-4			Income and Debtors Performance Management Information Management	15 15 15	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.
Kesources (CTS)	High			Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance	15 15 15 15	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
Kesources (CTS)	High			Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance  Health and Safety (carried forward from 2019/20)	15 15 15 15 0	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.
Kesources (CTS)	High			Income and Debtors  Performance Management  Information Management  Pre-Contract Assurance	15 15 15 15 0 0	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
Kesources (CTS)	High			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)	15 15 15 15 0 0 0	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
	High	Assurance	205	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)	15 15 15 15 0 0 0 0	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	High	Assurance	205	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	15 15 15 15 0 0 0 0 0 15 15	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
	High	Assurance	205	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	15 15 15 15 0 0 0 0 0 15 15	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
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		Assurance	205	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	15 15 15 0 0 0 0 0 15 15 15 15 20	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
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		Assurance	205	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 Carres (carried forward from 2019/20)	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 15 15 0 0 0 0	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
Social Services		Assurance	205	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)	15 15 15 0 0 0 0 0 0 15 15 15 15 15 0 0 0 0	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
Social Services  Total		Assurance	205	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)	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 17 15 17 17 17 18 18 18 18 18 18 18 18 18 18 18 18 18	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
Social Services		Assurance	205	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 Carres (carried forward from 2019/20)	15 15 15 0 0 0 0 0 0 15 15 15 15 15 0 0 0 0	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
Social Services  Total	Medium	Assurance	205	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)	15 15 15 0 0 0 0 0 0 15 15 15 15 15 0 0 0 1,135  Days	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
Social Services  Total		Assurance	205	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	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days	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  Delivery of service objective with effective compliance and control
Social Services  Total	Medium	Assurance	205  1,135  Original audit plan	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)  City Deal 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services  Total	Medium	Assurance	205  1,135  Original audit plan	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 - TBC	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services  Total  External	Medium		205  1,135  Original audit plan	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 - TBC  Joint Committees	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days 0 5 2 2 2 6	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External	Medium		1,135 Original audit plan	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)  City Deal 2019/20 cf  City Deal 2020/21  Cardiff Further Education Trust Fund - TBC  Norwegian Church Preservation Trust - TBC  Joint Committees  Education Improvement Grant	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days 0 5 2 2 2 6	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control
Social Services  Total  External	Medium		205  1,135  Original audit plan  20	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 - TBC  Joint Committees	15 15 15 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days 0 5 2 2 2 6	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External	Medium		205  1,135  Original audit plan  20	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)  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)  City Deal 2019/20 cf  City Deal 2020/21  Cardiff Further Education Trust Fund - TBC  Joint Committees  Education Improvement Grant  Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)	15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External	Medium	Assurance	1,135 Original audit plan 20	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 - TBC  Joint Committees  Education Improvement Grant  Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)  Rumourless Cities Grant	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0 10	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External  Grants	Medium	Assurance	1,135 Original audit plan 20	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 - TBC  Joint Committees  Education Improvement Grant  Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)  Rumourless Cities Grant	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0 10 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total External  External  Grants  Total  Contingencies	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan	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 Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 0 10 0 0 30 Days	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total External  External clients  Grants Total Contingencies General Audit	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan 30	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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External clients  Grants  Total  Contingencies  General Audit  Total	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan 30 30	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) Asset Management (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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 0 10 0 0 30  Days 30 30	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total External  External clients  Grants Total Contingencies General Audit	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan 30	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) Asset Management (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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 0 0 0 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External clients  Grants  Total  Contingencies  General Audit  Total	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan 30 30	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) Asset Management (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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 0 10 0 0 30  Days 30 30	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External  Contingencies  General Audit  Total  Management  Corporate work – Audit Committee, WAO etc.  Assurance mapping	Medium	Assurance	1,135 Original audit plan  20  10 30 Original audit plan 30 Original audit plan 30 Original audit plan	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) 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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)  Assignment Corporate work – Audit Committee, WAO etc. Assurance mapping	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0 10 0 0 30  Days  50 10	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External  Contingencies  General Audit Total  Management  Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development	Medium	Assurance  Assurance  Management Management Management	1,135 Original audit plan  20  10 30 Original audit plan 30 Original audit plan 50 10 0	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) 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 2020/12 Cardiff Further Education Trust Fund - TBC Norwegian Church Preservation Trust - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)  Assignment  Corporate work - Audit Committee, WAO etc. Assurance mapping CRSA development	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days 0 5 2 2 6 5 2 2 6 5 0 10 0 0 0 0 0 30  Days 30  Days 50 10 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total  External  External  Contingencies  General Audit  Total  Management  Corporate work – Audit Committee, WAO etc.  Assurance mapping  CRSA development  Process development	Medium	Assurance  Assurance  Management Management Management Management Management	1,135  Original audit plan  20  10 30  Original audit plan 30  Original audit plan 50 10 0 20	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) 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 Norwegian Church Preservation Trust - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment General Audit (provision for carried forward audits)  Assignment Corporate work - Audit Committee, WAO etc. Assurance mapping CRSA development Process development	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 15 0 0 0 0	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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  Y  Scope as per rolling SLA  Y
Social Services  Total External  External  Contingencies  General Audit  Total  Management  Corporate work – Audit Committee, WAO etc.  Assurance mapping  CRSA development  Process development  Work for Audit Manager	Medium	Assurance  Assurance  Management Management Management Management Management Management	1,135  Original audit plan  20  10 30  Original audit plan 30  Original audit plan 50 10 0 20 30	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) 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 2019/20 cf City Deal 2020/21 Cardiff Further Education Trust Fund - TBC Norwegian Church Preservation Trust - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  General Audit (provision for carried forward audits)  Assignment  Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development Process development Process development Work for Audit Manager	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0 10 0 0 20 30  Days	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 six 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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  y  Grant certification / statement of accounts work
Social Services  Total  External  External  Contingencies  General Audit  Total  Management  Corporate work – Audit Committee, WAO etc.  Assurance mapping  CRSA development  Process development	Medium	Assurance  Assurance  Management Management Management Management Management	1,135  Original audit plan  20  10 30  Original audit plan 30  Original audit plan 50 10 0 20	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) 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 Norwegian Church Preservation Trust - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment General Audit (provision for carried forward audits)  Assignment Corporate work - Audit Committee, WAO etc. Assurance mapping CRSA development Process development	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 0 1,135  Days 0 5 2 2 2 6 5 0 10 0 0 20 30 30  Days 50 10 0 0 20 30 30 30	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 six 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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  y  Grant certification / statement of accounts work
Social Services  Total External  External  External clients  Grants Total Contingencies  General Audit Total Management Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development Process development Work for Audit Manager Planning, monitoring & reporting	Medium	Assurance  Assurance  Management Management Management Management Management Management Management Management	1,135  Original audit plan  20  10 30  Original audit plan 30  Original audit plan 50 10 0 20 30 30 30	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) 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 - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20) Rumourless Cities Grant General Audit (provision)  Assignment  Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development Process development	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 1,135  Days  0 5 2 2 6 5 0 10 0 0 20 30  Days	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 six 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  Delivery of service objective with effective compliance and control  Delivery of service objective with effective compliance and control  Scope as per rolling SLA  y  Grant certification / statement of accounts work
Social Services  Total External  External  Contingencies  General Audit Total  Management  Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development Process developme	Medium	Assurance  Assurance  Management  Management  Management  Management  Management  Management  Management  Management  Management  Management	205  1,135  Original audit plan  20  10  30  Original audit plan  30  Original audit plan  50  10  0  20  30  30  30  20	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) 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 Norwegian Church Preservation Trust - TBC Joint Committees Education Improvement Grant Norwegian Church Preservation Trust - 2018/19 (carried forward from 2019/20)  Rasignment  General Audit (provision)  Assignment  General Audit (provision for carried forward audits)  Assignment  Corporate work – Audit Committee, WAO etc. Assurance mapping CRSA development Process development Process development Work for Audit Manager Planning, monitoring & reporting Review of financial rules etc.	15 15 15 15 0 0 0 0 0 0 0 15 15 15 15 15 15 15 15 15 20 20 20 15 15 15 0 0 0 0 1,135  Days  Days  Days  Days  50 10 0 0 20 30 30 30 30 30 30 30 30 30 30 30 30 30	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 six management.  Effective control, management and monitoring of Direct Payments  Effective Directorate recording, monitoring, management and control of physical assets  Fillow 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  Delivery of service objective with effective compliance and control  Scope as per rolling StA  y  Grant certification / statement of accounts work

1,912

1,912

Total chargeable days

Final Issued Final Issued Final Issued Final Issued Draft Issued  DEFERRED AUDIT DEFERRED AUDIT DEFERRED AUDIT Deferred AUDIT Draft Issued  Draft Issued  Draft Issued	Insufficient with major improvement needed  Effective with opportunity for improvement  Effective  Insufficient with major improvement needed  Effective with opportunity for improvement  Effective with opportunity for improvement
Final Issued Final Issued Draft Issued  DEFERRED AUDIT DEFERRED AUDIT DEFERRED AUDIT Draft Issued  Draft Issued	Effective Insufficient with major improvement needed Effective with opportunity for improvement
Final Issued  Draft Issued  DEFERRED AUDIT  DEFERRED AUDIT  DEFERRED AUDIT  Draft Issued  Draft Issued	Insufficient with major improvement needed Effective with opportunity for improvement
DEFERRED AUDIT  DEFERRED AUDIT  DEFERRED AUDIT  Draft Issued  Draft Issued	
DEFERRED AUDIT  Draft Issued  Draft Issued	Effective with opportunity for improvement
Draft Issued  Draft Issued	Effective with opportunity for improvement
	Insufficient with major improvement needed
<del>                                     </del>	Unsatisfactory
CRSA updated and being completed	No Opinion Provided
DEFERRED AUDIT	Effective with appartunity for improve
Draft Issued Draft Issued	Effective with opportunity for improvement Effective with opportunity for improvement
Draft Issued	Effective with opportunity for improvement
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Draft Issued	Insufficient with major improvement needed  Effective
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DEFERRED AUDIT DEFERRED AUDIT	
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DEFERRED AUDIT DEFERRED AUDIT	
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Final Issued  Draft Issued	Insufficient with major improvement needed
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Final Issued	Effective with opportunity for improvement
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DEFERRED AUDIT  Draft Issued	Effective with opportunity for improvement
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Final Issued	Effective with opportunity for improvement
Finalized (v. 2. A. v.dita)	No Oninion Provided
Finalised (x 3 Audits)  Draft Issued	No Opinion Provided Effective with opportunity for improvement
Finalised Accounts / Draft Recomendations Issued	Effective with opportunity for improvement