

COMPLETED AUDITS NOVEMBER 2013

Report	System Overview	Work Finalised	Audit Days	Key Messages	Audit Opinion	Action Plan Dates
Corporate Complaints	<p>Corporate Complaints for all Directorates are received by the Information Officer within Legal & Regulatory Services. (The exception to this is complaints received in relation to Schools and Social Services which are dealt with under separate Complaints procedures).</p> <p>In 2012/13 61 complaints were received by the corporate team. As at end of July, 20 complaints had been received for 2013/14.</p>	Sept 13	15 days	Overall, no major issues were identified the audit. A number of strengths and areas of good practice were identified including the fact that there is a central contact and an appointed Information Officer and an Information Assistant who provide suitable cover. It was acknowledged that Corporate Complaints procedure matches guidance issued by the Welsh Government.	Substantial	December 2103
Rights of Way	<p>The key responsibilities of the section include:</p> <ul style="list-style-type: none"> • The maintenance of the Definitive Map which is a statutory requirement. • Administration of applications for amending or re-routing Rights of Way (i.e. Public Path Orders (PPO's) and Definitive Map Modification Orders (DMMO's). • Asserting and protecting the rights of the public to use public rights of way. • Planning and scheduling improvements and remedial works. 	Sept 13	14 days	During the audit it was noted that the section benefits from a team of knowledgeable, experienced staff. The implementation of the Countryside Access Management System (CAMS) and the introduction of hand held devices for recording up-loadable data during surveys is helping towards streamlining the service. However, the current rate of progress in updating CAMS does raises a concern and recommendations were made in this area.	Substantial	December 2013

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Fuel	<p>The supply of fuel to BCBC vehicles and hire cars is managed by Fleet Services. The department manages two supplies at the Waterton and Bryncethin depots of diesel and gas oil. The delivery of fuel is controlled via the use of fobs which are linked centrally to a computer system (Odyssey) which facilitates the recharging of costs to the departments. This system should ensure fuel is only supplied to those with a genuine business requirement.</p>	Sept 13	12 days	<p>Strengths were identified in relation to:</p> <ul style="list-style-type: none"> • Documentation being in place and up to date. • Reconciliations of receipts to stock regularly carried out and appropriately authorised. • Management information and recharge information was regularly supplied to departments to enable reviews of fuel use. <p>A recommendation was made in relation to the need for workshop staff to carry out fuel audits. These should be regularly reviewed and any stock discrepancies investigated.</p>	Reasonable	December 2013
Volunteer Drivers	<p>The Volunteer Drivers service is administered by one coordinator and is currently supported by 22 voluntary drivers. The Volunteer Drivers service is available to both adult's services and children's services but the larger part of the budget is focussed on the needs of children and their families, for example journeys necessary for attendance at contact meetings.</p> <p>An audit review of the Volunteer Drivers service was undertaken in November</p>	October 13	9 days	<p>It is acknowledged that progress has been made to implement the recommendations agreed during the last audit, against a backdrop of reduced staff and staff absence. The main action taken, being the creation of a database to record all details relating to the volunteers in one place. However at the time of the audit, the database contained very little past information and as annual reviews had not taken place for all drivers, very little</p>	Limited	November 2013

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	2012 as part of the 2012/13 annual Internal Audit Plan. The overall opinion of the controls in place at the time was that of limited assurance. As a result, this area was re-visited.			current information was available. Therefore assurances cannot be obtained that current drivers are operating with the correct insurance, valid MOT's, up to date DBS checks etc.		
Children with Disabilities	<p>The aim of the Disabled Children's Team is to promote and enhance the quality of life for disabled children/young people and their families who live in the Borough. The team strives to work in partnership with families and other agencies to safeguard and promote the welfare of disabled children and young people.</p> <p>The Disabled Children's team accepts referrals for disabled children and young people who meet the team's eligibility criteria. Social workers/case managers will carry out assessments to identify any support/services which the child/young person and the family may need. A care plan is drawn up with the child/young person and their family. This plan is regularly reviewed.</p>	October 13	18 days	<p>During the Audit a number of strengths and areas of good practice were identified:</p> <ul style="list-style-type: none"> • Children's files were regularly sampled for compliance by Business Support and there was good evidence that this was effective in maintaining a good standard of documentation across the Disabled Children's Team. • There was documented evidence of good communication between the Disabled Children's Team, parents/guardians and children/young persons. • A key issue was identified in relation to payments made to Trinity Sitting service. It was recommended that these should be regularly reconciled against the assessed need. 	Reasonable	October 2013

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Financial Assessment Reviews	<p>The Financial Assessments team assess the income and capital of Service Users in receipt of Residential and non-residential services.</p> <p>The budget costs of Residential and Home Care provision within the Authority are significant figures, totalling over £16 million net of income, and without staffing costs included. The accuracy of financial assessments to determine the amount of money chargeable to the Local Authority and, by extension, the amount of income required from Service Users, is essential to limit increasing costs.</p>	October 13	14 days	<p>A number of strengths and areas of good practice were identified including the Financial Assessments team being very experienced and knowledgeable. From the sample of cases checked the accuracy rate of financial assessments was extremely high.</p> <p>The following key issues were identified during the Audit which need to be addressed:</p> <ul style="list-style-type: none"> • The Non-Residential financial assessment system should be incorporated into any new computer system that replaces DRAIG. • Delays in providing the Financial Assessment Team with accurate and timely information relating to the commencement of Home Care services can be detrimental to the amount of income the Authority can collect. 	Substantial	April 2014
Appetite for Life Grant	The Appetite for Life Grant is provided to help support local authorities and schools in continuing to make the transition to the standards proposed in	October 13	3 days	Based on the testing carried out, Audit was satisfied that the amount claimed of £106,825 for 2012/13 was accurate and that monies had been spent for the intended	Substantial	N/A

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	the Appetite for Life Action Plan, through supporting activity that delivers and sustains improvements to the food and drink provision in schools. At WG's request, the annual review was conducted to ensure the funding was spent in accordance with the terms and conditions of the grant.			purpose.		
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