

Partneriaeth Pen-y-Bont a'r Fro  
Bridgend & Vale Partnership  
working together - gweithio ar y cyd



**INTERNAL AUDIT SHARED SERVICE  
DRAFT ANNUAL AUDIT PLAN FOR THE DIRECTORATE OF COMMUNITIES**

**2015 – 2016**

**Bridgend CBC**

**1. Introduction**

1.1 The Communities Directorate is actively seeking to take a balanced approach to improving the wellbeing of communities through social, physical, cultural and economic improvements, in order to achieve a safe, pleasant and sustainable environment for residents of and visitors to Bridgend County Borough. The Directorate brings together a wide range of services that are committed to renewing the physical, social and environmental fabric of the County Borough and enhancing its overall economic wellbeing.

1.2 They need to continue to change the way in which they develop the local economy and regenerate Bridgend, Maesteg and Porthcawl town centres along with the most deprived areas. This will include encouraging inward investment, stimulating town centre vibrancy and developing infrastructures to help boost the local economy, provide extra employment opportunities and attract more visitors to the borough. Bridgend County Borough need skilled workers to attract businesses that bring in skilled jobs to the area, so the Council will work with the adult community learning partnership and local businesses to address the current skills shortage across the County Borough.

1.3 The Council wants town centres, business premises and transport and communication networks that cater for the needs of residents, businesses and visitors, ensuring access to employment opportunities that are varied and secure in the long term. Underpinning the improvements to the economic opportunities for the people of Bridgend County Borough, will be the Council’s drive to be a Cleaner Safer Greener Bridgend. They will continue to promote recycling and sustainable development, tackle environmental crime, as well as work with partners to reduce crime and anti-social behaviour.

**2. Improvement Priorities for 2015-17**

2.1 Bridgend County Borough Council has identified six improvement priorities; improvements the Council believe matter most to people in the borough. These priorities are as follows:

Working together to develop the local economy	Working together to raise ambitions’ and drive up educational achievement.	Working with Children and Families to tackle problems early	Working together to help vulnerable people to stay independent.	Working together to tackle health issues and encourage healthy lifestyles	Working together to make best use of our resources.
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### 3. Corporate Commitments

Improvement Priority (IP)	Commitment Objective	Communities - Commitments (Actions)
<p><b>IP1 – WORKING TOGETHER TO DEVELOP THE LOCAL ECONOMY</b></p>	<p>Continue to implement key regeneration projects and programmes to enhance and develop our economy.</p>	<p>Develop bids and secure funding for the next phase of economic development and urban regeneration projects through the EU convergence programme, up to 2020, to deliver this corporate priority.</p> <p>Continue implementation of a composite regeneration programme in Bridgend town centre.</p> <p>Re-appraise development options and deliver regenerations projects in Porthcawl.</p> <p>Continue to implement the first phase of a number of key land reclamation and development projects in Maesteg and the Llynfi Valley.</p> <p>Implement the Rural Development Programme 2014-2020 working with rural communities and partners towards achieving self-sustaining rural communities, diversified rural enterprises and vibrant rural economies.</p>
	<p>Improve opportunities and provision for life-long learning and ensure that the borough can compete on a regional level for jobs, attracting further investment from new and existing businesses and supporting entrepreneurs.</p>	<p>Provide focused support for businesses and support social enterprises to help them invest and create jobs.</p> <p>Engage with people and communities to understand their learning needs so that adult community learning provision is commissioned to meet outcomes and employment prospects are improved.</p>
	<p>Work with public transport providers and communities to improve transport links especially public transport.</p>	<p>Continue improvements in transport, pedestrian and cycle links between the bus and rail network and employment and education steps to include schemes in Bridgend, Maesteg and Porthcawl.</p> <p>Identify and implement physical improvements to the</p>

		public rights of way and cycle track network using Welsh Government RoWIP and other grant funding.
<b>IP2 – WORKING TOGETHER TO RAISE AMBITIONS AND DRIVE UP EDUCATIONAL ACHIEVEMENT</b>	Work with Schools and other partners to help children and young people improve their reading, writing and number skills, so they are properly equipped for further learning and the world of work.	Promote libraries and implement a series of programmes designed to get more children and young people to enjoy reading.
<b>IP4 – WORKING TOGETHER TO HELP VULNERABLE PEOPLE TO STAY INDEPENDENT.</b>	Work with all our existing and potential partners to develop a range of accommodation options and support for vulnerable and older people who need help to achieve or sustain independence..	Take reasonable steps to help prevent homelessness in line with strengthened duties under the new Housing (Wales) Act 2014.  Help vulnerable people retain their dignity and stay as independent as possible in accommodation that best meets their needs.
<b>IP5 – WORKING TOGETHER TO TACKLE HEALTH ISSUES AND ENCOURAGE HEALTHY LIFESTYLES.</b>	Working with a range of partners to develop services and opportunities that encourage and promote life-long physical activity, including making the best use of our Rights of Way, Cycleways and community routes.	Develop active travel maps and support walking and cycling initiatives that will contribute to the implementation of the Active Travel (Wales) Act.
<b>IP6 – WORKING TOGETHER TO MAKE THE BEST USE OF OUR RESOURCES.</b>	Achieve the savings identified in the Medium Term Financial Strategy.	Implement the planned savings identified in the 2015-16 budget.  Procure a new service contract for the disposal and treatment of BCBC residual waste in partnership with NPT, and deliver savings identified in the MTFs.  Develop options for the future delivery of domestic, trade waste and recycling collection service.  Deliver a Strategic HWRC to replace Tythegston at Village Farm.  Work with partners to promote safety, health and wellbeing in our communities.  Continue to promote access to rights of way such as working with partners to arrange the Annual Walking Festival to support tourism.

		<p>Continue to improve road safety and sustainable transport options.</p> <p>Work with Bridgend Employee Liaison Partnership to establish a county borough wide provision that will help people gain skills and training which leads to employment.</p> <p>Support the Bridgend Tourism Partnership and work with partners to develop and promote tourist accommodation, activities, attractions and events.</p>
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**4. Corporate Risks**

The Council assesses on an annual basis the major risks that will affect the ability to achieve the Corporate Improvement Priorities, provide services as planned and fulfil its statutory duties. The following high risks are owned by the Directorate – Communities and are shown under each improvement priority.

Risk Ref.	Risk	Inherent Risk Score	Residual Risk Score
<b>IP1 – WORKING TOGETHER TO DEVELOP THE LOCAL ECONOMY</b>			
CR10	Maintaining Infrastructure	<b>20</b>	<b>16</b>
CR3	The impact of persistent economic downturn	<b>24</b>	<b>20</b>
CR7	Educational Attainment	<b>16</b>	<b>16</b>
<b>IP4 – WORKING TOGETHER TO HELP VULNERABLE PEOPLE TO STAY INDEPENDENT</b>			
CR12	The impact of homelessness	<b>15</b>	<b>15</b>
<b>IP6 – WORKING TOGETHER TO MAKE THE BEST USE OF OUR RESOURCE</b>			
CR8	Disposing of waste	<b>20</b>	<b>16</b>

## 5. The Risk Assessment Process

5.1 The information which has been used to prepare the risk assessment and proposed internal audit plan for the Directorate of Communities has been collected and collated from a number of different sources including the information contained above. The starting point for a risk based audit approach is an understanding of the Council's priorities and risks. This has been achieved by reviewing the Corporate Plan, Directorate's Business Plan, Corporate Risk Register and meeting / interviewing Corporate Directors and their Senior Management Teams asking where they perceive to be the main risks within their individual areas and where they would require internal audit to provide assurance that such risks are being effectively mitigated and managed. This information is used to inform and design the audit plan.

5.2 The plan is based on an underlying risk assessment. The inherent risks existing within each area are then identified for audit as part of the audit planning process. The audits which make up the plan have been assessed on priority. Internal Audit will ensure that all reviews classified as "high" risk, will be completed by the end of the year, "medium risk reviews are the next level down, but still require a scheduled review. Although "low" risk reviews still carry a degree of risk, these have not been included on the plan but continue to be risk assessed annually to take account of any changes in their status.

## 6. Proposed Internal Audit Plan for the Directorate of Communities 2015-16

### DIRECTORATE – COMMUNITIES

Area	Identified Risk(s)	Proposed Audit Scope	Total Days
<b>Subsidised Bus Service</b>	Failure to deliver the service to meet the needs of users.	To evaluate the procedures and processes in place for the provision of the Subsidised Bus Service.	<b>10</b>
<b>Waste Management</b>	Failure to meet the Welsh Government Targets and thereby attract costly fines.	To establish the robustness and relevance of data used to support decision making and predicted cost savings. To ensure that the Council is meeting the targets as set by Welsh Government "Towards Zero Waste".	<b>20</b>
<b>Communities</b>	Failure to meet the	This work will seek to provide assurance on the overall arrangements in place for delivering	<b>10</b>

<b>First</b>	desired outcomes of the programme.	the new Communities First programme. It will concentrate on the adequacy and effectiveness of the overall service delivery to meet the three main objectives of the programme.	
<b>Highways Maintenance</b>	Reputational Risk to the Council, Badly maintained highways, Failure to deliver the programme of improvements expected from the Local Government Borrowing Initiative. Inability to improve transport links.	To provide assurance on the adherence to maintenance protocols (Highways Act etc.) and to determine how the Council is considering value for money in their maintenance works.  This work will seek to provide assurance over arrangements for delivering the programme of highways improvements works during 2015/16 and over the adequacy and effectiveness of associated budget management.	<b>15</b>
<b>Homelessness</b>	Arrangements for homelessness may not be adequate.	To provide assurance on the procedures and processes in operation to manage increased demand. To review the impact of changes on the level of requests being made to the homelessness section following the introduction of Welfare reform and processes for homelessness allocations and payments.	<b>15</b>
<b>Supporting People Grant</b>	Failure to comply with the terms and conditions of the grant could lead to claw back of funding.	To validate the Supporting People Grant in accordance with Welsh Government requirements.	<b>5</b>
<b>Economic and Urban Regeneration</b>	Failure to comply with the terms and conditions could lead to claw back.	To review progress on planned capital schemes aimed at regenerating the Council's towns including those funded through the Convergence Programme (these include Bridgend and Maesteg). The review will focus on the overall arrangements in place for managing and monitoring these schemes and will include governance of the overall programme and individual projects.	<b>15</b>
<b>Project Management</b>	Reputational Risk to the Council. Failure to deliver projects on time and to budget. Failure to meet the	To review the Council's Major Project Management arrangements to ensure sound governance, internal control and risk management arrangements are adequate and effective.	<b>35</b>

	Directorates Improvement commitments.		
<b>ICT</b>	Failure to meet the needs of the service users.	To review the Directorate's arrangements for the maximisation of the ICT provision to meet the needs of the service.	<b>15</b>
<b>Planning</b>	Potential breaches and increase in appeals.	To provide the necessary assurance that planning applications are in accordance with the Council's procedures and processes and that the overall decisions made by the Planning Committee are clearly evidenced.	<b>10</b>
		<b>Overall Total – Communities</b>	<b>150</b>

**NOT INCLUDED WITHIN THE 2015-16 ANNUAL AUDIT PLAN**

<b>Area not included</b>	<b>Identified Risk(s)</b>	<b>Audit Areas to be considered if capacity available</b>	<b>Total Days</b>
Rights of Way	Not Audited	To review the arrangements in place to maximise grant funding to physically improve public rights of way.	
Disabled Facilities Grants	Medium Risk	To ensure that the procedures and processes in place for the delivery of DFG's are efficient and effective to meet the needs of the service users.	