

2015/16 Completed Audits**Reported at the 28th January 2016 Audit Committee Meeting**

Report	System Overview	Work Finalised	Audit Days	Key Messages	Audit Opinion	Key Action Plan Dates
Central Pupil Database	<p>The Knowledge Management (KM) Team covers a range of support activities including school admissions and transfers, clerking for governing bodies, Service Level Agreements, disabled transport and volunteer drivers.</p> <p>The KM Team collates information in one place for statutory reporting purposes and National and Local Performance Indicators for the Children's Directorate and maintains the Central Pupil Database (CPD).</p> <p>The objectives were to assess the overall control environment of the Knowledge Management Database to ensure compliance with the Data Protection Act (DPA) and where applicable Wales Accord for Sharing Personal Information (WASPI).</p>	September 2015	14 days	<p>Audit testing confirmed that:</p> <ul style="list-style-type: none"> • The Principal Officer has relevant knowledge and experience in WASPI including DPA, Freedom of Information and disseminates to the Knowledge Management Team; • Controls to the CPD are adequate; • A repository list/register is in place to log relevant information or data stored; • Where applicable information is made available on the intranet. 	Reasonable Assurance	November 2015

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Server Virtualisation	<p>Virtualisation is a software technology which makes it possible to run multiple operating systems and applications on the same server at the same time. Virtualised servers are known as Virtual Machines or VMs.</p> <p>There are many benefits of implementing a virtualised infrastructure over a physical one including: reduced capital and operating costs, reduced data centre footprint and energy consumption, high application availability, minimising downtime, centralised management of systems, faster server provisioning and improvement in disaster recovery.</p> <p>Virtualisation also introduces risk, including virtual machine (VM) sprawl, increased complexity of the environment, resource misuse, security of data and systems where access to multiple systems is the norm through centralised management.</p> <p>As part of the ICT Strategy and</p>	October 2015	15 days	<p>During the Audit a number of strengths and areas of good practice were identified as follows:</p> <ul style="list-style-type: none"> • There are currently enough host resources to cope with minor issues or even a small number of host failures and still maintain all services. • Server provisioning is efficient – a new virtualised server can be created very quickly from templates stored in the system. • A product called Veeam is used for backing up the virtualised environment but also provides a full reporting suite which can provide essential information to administrators. <p>The following key issues were identified during the Audit which need to be addressed:</p> <ul style="list-style-type: none"> • There are permissions that have been applied to individuals at a VM level but those individuals are also included in a group which has administrative control over 	Reasonable Assurance	November 2015

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	<p>Framework 2012 – 2015, one objective is to conclude the migration of business critical applications to the virtualised infrastructure.</p> <p>The objective of the audit was to perform an independent review of server virtualisation within the Council.</p>			<p>the whole environment.</p> <ul style="list-style-type: none"> • Systems have not been categorised in the virtual environment to represent business criticality. There may be instances where there is a possibility of downtime for critical systems while non-critical are live or where in a disaster recovery situation, systems are not brought online in the most efficient and priority-based manner. • The current virtualised environment has not been evaluated against the security hardening guidelines released by VMware. Periodically reviewing this guide against the virtualised estate would provide greater security assurance. 		
Safeguarding	BCBC has a legal duty to ensure that it undertakes its functions in a way that safeguards and promotes the welfare of children, young people and adults at risk (vulnerable adults) in accordance with relevant legislation, for	October 2015	24 days	<p>Areas of strength included:</p> <ul style="list-style-type: none"> • A Corporate Safeguarding Policy for Children, Young People and Adults that clearly specifies roles, responsibilities and procedures for safeguarding 	Reasonable Assurance	May 2016

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	<p>example, the Social Services and Wellbeing (Wales) Act, 2014.</p> <p>As part of the Council's commitment to safeguarding, BCBC works actively with other agencies such as the Police, Abertawe Bro Morgannwg University Health Board, Wales Probation, third sector organisations and others under the auspices of the Western Bay Safeguarding Children and Adults Boards.</p> <p>The objective of the audit was to assess the operational controls in place relating to the Council's Safeguarding procedures to ensure the governance, accountability, management processes and controls are operating effectively focussing on risk areas across the Council.</p>			<p>has been developed;</p> <ul style="list-style-type: none"> • A local safeguarding group which focuses on operational issues across Western Bay, relevant to Bridgend has been constituted and Terms of Reference have been agreed; • The Corporate Induction Framework now includes basic safeguarding training for new staff. <p>Key concerns included:</p> <ul style="list-style-type: none"> • Further work is required to ensure a holistic/corporate approach to safeguarding across the various directorates within the Council so that, as the Policy seeks to promote, safeguarding becomes everybody's business; • Designated Safeguarding Managers are yet to be appointed and trained, this should be a priority; • A Corporate Training Strategy is needed to ensure that safeguarding training needs are fully identified and 		

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				<p>relevant training is delivered;</p> <ul style="list-style-type: none"> External reviews were not consistently reported to the appropriate committee. 		
Highways Maintenance	<p>BCBC has a statutory duty as part of the 1980 Highways Act to maintain the highways within its boundary. The Council provides an in-house service to maintain the roads as part of a reactive service. The in-house service is also part of a partnership with Neath Port Talbot County Borough Council and Merthyr Tydfil County Borough Council, which has a Service Level Agreement with the South Wales Trunk Road Agency (SWTRA). BCBC is responsible for the maintenance of the M4 motorway and the A470 between Taff Ely and Abercynon.</p> <p>As part of the Council's Medium Term Financial Strategy, Highway Services has been set a savings target for the period 2015-18 of £1.3 million.</p> <p>The objective of the audit was to</p>	October 2015	19 days	<p>A number of areas of good practice were identified as follows:</p> <ul style="list-style-type: none"> Highway Services Review - Project Board is in place to provide oversight in the delivery of the Medium Term Financial Savings and actions raised as a result of the overtime review. Selection of schemes for the planned maintenance programme is supported with Highway Inspection reports; complaints and scanner reports. Effective controls are in place to manage the annual SWTRA Service Level Agreement payments. <p>Audit testing did however identify inaccurate SWTRA claims for additional / ad hoc work due to the non-reconciliation of Day Work</p>	Substantial Assurance	November 2015

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	<p>provide assurance that the arrangements for delivering the programme of highways improvement works during 2015/16 is compliant with maintenance protocols including the Highways Act, whilst demonstrating effective budget management, in order to meet achieve the significant financial savings required.</p>			<p>Sheets to Open Contractor and Business Support Spreadsheets. From the sample of 10 invoices, there were errors found in 5 that resulted in a net over claim of £1101. The section have already been in liaison with contractors to rectify these errors and have put in place measures to prevent the situation occurring again.</p>		
<p>Built Environment Process Review</p>	<p>A review of the BPM 1.0 process followed for the procurement of work orders of £5000 and above was conducted.</p> <p>To carry out this review audit testing focused on the Client Agent. The Client Agent consists of a Principal Building Surveyor, a Senior Building Surveyor Team Leader and three Senior Building Surveyors, who are designated project leaders and will assist the client by providing quotes for work, instructing the relevant contractors and supervising works to ensure it meets the required specification. For the purpose of this review, the term 'client' referred to any other internal</p>	<p>November 2015</p>	<p>35 days</p>	<p>At the time of the review it was noted that there were insufficient completed jobs (over £5000) to test, to be able to provide comprehensive assurance that the BPM 1.0 process is working effectively since the switch to electronic working.</p> <p>From the testing undertaken, it was identified that there were several instances where documents were either not retained or had not been completed in full, for example, requisitions, the rationale why the internal service had not been used, order process documents, client confirmation</p>	<p>Reasonable Assurance</p>	<p>April 2016</p>

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	<p>department within the Council.</p> <p>A transfer towards electronic working was instigated in March 2015 which means that the Client Agent no longer retain paper project files instead all documentation must be stored within an electronic file on information@work. This allows the Business Support Team to access any necessary documents remotely as they are now based in Raven's Court and provide support to certain areas of the Resources directorate (Property, ICT, Built Environment), whereas previously they provided sole support to Built Environment.</p>			<p>to proceed with works and project action checklists. Prior to the introduction of the electronic system, these issues would have been detected and rectified as part of the business support file checks before the job could progress any further. Whilst these issues have been categorised as low risk within the audit report, it is thought that if file checks cease and these processes continue to slip, it could result in more significant control issues in the future.</p> <p>Therefore, it is felt that a further review should be undertaken once the process has become fully operational and more jobs have passed through the process. It is envisaged that such work will be undertaken in early 16/17.</p>		
Leisure Services Contract	On 1st April 2012, BCBC commenced a 10 plus, 5 year contract with Greenwich Leisure Limited (GLL) and Halo who operate the contract for the provision of leisure services within	December 2015	8 days	The procedures and practices in place for the monitoring and control of the contract, from a contractor performance perspective, remain comprehensive and significantly	Substantial assurance	Not Applicable

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	<p>the borough. This partnership is known as the Healthy Living Partnership Project.</p> <p>The objective of this review was to review and establish the Authority's monitoring of performance arrangements in relation to the Leisure Services contract.</p>			<p>assist in reducing the risk that the -Authority is exposed to.</p> <p>No key issues that needed to be addressed were identified during the Audit. However an advisory recommendation was made in relation to one objective, namely the promotion of the Access to Leisure – Financially Disadvantaged. It was advised that this promotion has not been undertaken because the requirements of the Data Protection Act means that Halo cannot be provided with a list of Housing Benefit claimants and as such any letters informing claimants of the scheme have yet to be sent out. The Partnership and Development Officer informed that it is their intention to undertake this exercise before the end of the current financial year.</p>		
Carbon Reduction Commitment (CRC) Return	The Energy Management section within Built Environment has the responsibility for developing and delivering long term energy and	December 2015	10 days	<p>The strengths that were identified as follows:</p> <ul style="list-style-type: none"> • The evidence pack was 	Substantial Assurance	Not Applicable

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	<p>carbon management plans to improve the Authority's performance across a wide range of environmental and energy sustainability.</p> <p>A key part of the section's role is the completion of a CRC Annual Report that is submitted to the Environment Agency as part of the UK mandatory Carbon Reduction Commitment Energy Efficiency Scheme. The submission requires that adequate evidence is maintained to support the data submitted within the CRC Annual Report. Thus, an audit review of the system controls for completion of Phase 2 of the CRC evidence pack and return was undertaken.</p>			<p>comprehensively recorded and fully indexed.</p> <ul style="list-style-type: none"> • Sufficient evidence could be easily located and followed within the evidence pack. <p>There were no areas of concern identified during this review.</p>		