



INTERNAL AUDIT SHARED SERVICE

Team Plan 2015/16

Team Manager: **Helen Smith**
Service Plan: Resources
Date signed off: 01/06/2015
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Team Overview – Internal Audit Shared Service

The Internal Audit Shared Service team plays an essential role in supporting the Council to achieve its objectives and outcomes. Internal Audit is an assurance function that primarily provides an independent and objective opinion to management and Members on the control environment comprising risk management, internal control and governance by evaluating its effectiveness in achieving the Council's objectives.

It objectively examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources. It helps the Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance issues.

The Team's broad functions are:

- **To provide assurance on the Council's control environment comprising the systems of governance, risk management and internal control which includes the following:-**
 - Providing assurance on compliance with the Council's established policies, procedures, laws and regulations including how risk management is embedded within the Council;
 - That the Council's financial management arrangements are securing the most economical, effective and efficient use of resources.
 - That arrangements are in place to ensure that the Council fulfils its overall purpose achieves its intended outcomes for citizens and service users and operates in an economical, effective, efficient and ethical manner.
 - Providing a logical and systematic method of establishing the context, identifying, analysing, evaluating, treating, monitoring and communicating the risks associated with any activity, function or process is undertaken in a way that will enable the Council to minimise losses and maximise opportunities.
 - Provide an advisory and related client service activities, the nature and scope of which are agreed by the client, are intended to add value and improve the Council's governance, risk management and control processes without Internal Audit assuming management responsibility.
 - Provide an overall opinion, which is issued each year by the Head of Internal Audit on the adequacy and effectiveness of the Council's control environment and which is used by the Managing Director as a key source document in drafting the Annual Governance Statement.
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Our Contribution to Service Plan priorities 2014/15

Our contribution to the Service Plan priorities last year:

- Delivered a scheduled programme risk based audits in accordance with the Internal Audit Shared Services (IASS) Operational Plan for 2014/15. This ensured that the Operational Manager – Audit (as the Head of Audit) could provide an annual opinion on the overall Governance, risk management and internal control arrangements for the Council which in turn feeds into the Council's Annual Governance Statement.
- Co-ordinated and supported the presentation and delivery of the Council's Annual Governance Statement for 2014/15 in accordance with the set timeframe. This ensured that the Council's statutory requirements were achieved and that the Annual Governance Statement accompanied the audited Statement of Accounts.
- Supported the Council's Audit Committee in discharging their responsibilities in accordance with their Terms of Reference. This ensured that the Audit Committee as the Committee charged with overseeing the overall governance arrangements for the Council complied with its responsibilities
- Managed the close down of the Benefit Fraud Investigation Service and the smooth transfer to the Department for Work and Pensions – Single Fraud Investigation Service. This ensured a seamless transition of staff and the function from the Council to the Department for Work and Pensions.
- Provided an Annual Opinion on the Council's overall Internal Control Environment including; Governance, Risk Management and Internal Control. The Council were able to gain assurance on the adequacy and effectiveness of the control environment.
- Met the Public Sector Internal Audit Standards. This is a regulatory requirement and one that the Council's External Auditors would place reliance.
- Continued to deliver an Internal Audit Shared Service to both Bridgend County Borough Council and the Vale of Glamorgan Council in accordance with the terms of the Partnership Agreement. The Partnership has enabled each Council to call upon a far wider base of skills and knowledge and provides staff with a unique opportunity to use their particular expertise at both Councils and to assist their professional development and broaden their knowledge and skills base.

Our Team Plan 2015/16

Service Outcome 2:		The Vale Community benefits from the Council's sound and transparent decision-making through effective management of resources						
Objective 3:		To optimise our resources, exercise robust financial management and provide effective relevant services and facilities.						
Ref.	During 2015-16 we plan to:	Success Criteria/ Outcomes we'll achieve from this action are:	High, Medium or Low priority	Officer responsible for achieving this action	Start date	Finish date	How will the work be resourced?	Progress
	Continue to deliver an efficient and effective IASS with Bridgend County Borough Council for the third year of a three year agreement.	That both the Vale of Glamorgan Council and Bridgend County Borough Council will approve a two year extension covering 2016/17 and 2017/18 as permitted by the existing Partnership agreement.	High	Helen Smith	01/03/2015	31/03/2016	Within the existing IASS resource of 18.5 FTE's	
	Deliver a scheduled programme of audits on a risk based needs assessment.	All high risk areas are covered as part of the annual operational plan for the IASS culminating the production of the	High	Helen Smith	01/04/15	31/03/16	Within the existing resources of 18.5 FTE's	

		Head of Audit's Annual Opinion report on the effectiveness of the Council's Internal Control Environment.						
	Co-ordinate and support the preparation of the Council's Annual Governance Statement.	The Council is able to demonstrate good governance across all of its areas of operation	High	Helen Smith	01/04/15	31/03/16	Within the existing IASS resource of 18.5 FTE's	
	Support the Council's Audit Committee in discharging their responsibilities in accordance with agreed terms of reference.	Terms of Reference met and Audit Committee can demonstrate their role in the Council's governance arrangements.	High	Helen Smith	01/04/15	31/03/16	Within the existing IASS resource of 18.5 FTE's	