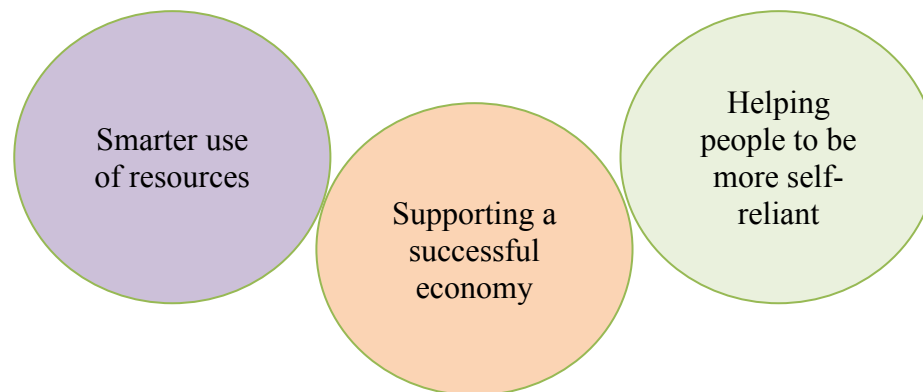


Partneriaeth Pen-y-Bont a'r Fro  
Bridgend & Vale Partnership  
working together - gweithio ar y cyd



**BRIDGEND COUNTY BOROUGH COUNCIL WORKING TOGETHER TO IMPROVE LIVES**

**INTERNAL AUDIT SHARED SERVICE  
DRAFT ANNUAL AUDIT PLAN FOR  
DIRECTORATE OF SOCIAL SERVICES AND WELLBEING**

**2017 – 2018**

**Bridgend CBC**

## **1. Introduction**

- 1.1 The Social Services and Wellbeing Directorate's vision is to actively promote independence, wellbeing and choice that will support individuals in achieving their full potential. The Social Services & Wellbeing Directorate is responsible for the planning, commissioning, assessment and, where appropriate, the direct provision of Social Services. The sport, play and active wellbeing team is also part of the directorate and this service has been able to focus on developing the wellbeing and preventive agenda to ensure that children, young people and adults are given every opportunity to improve their wellbeing and keep active regardless of their skills and abilities. The Directorate will particularly aim to promote sport plan and active wellbeing into new early intervention and preventative models of commissioning service delivery.
- 1.2 The case for new ways of working has been laid down by the Social Services and Wellbeing (Wales) Act (2014) and the directorate has been working towards the implementation of the Act for some time. Whilst the formal implementation date is April 2016, it will take a significant period of time to bed in due to the introduction of new ways of working and the inevitable impact this will have on the present culture, custom and practice. The business plan focuses on new ways of working and the future priority will be developing the best sustainable solutions that meet service users' needs flexibly and efficiently.
- 1.3 Improving educational attainment remains very important to the council and ongoing improvement in this area forms part of a wider objective in raising skills and attainment more generally. The Council's Corporate Plan highlights the Council's commitments whilst recognising that core and statutory services will continue to receive attention including the Council's work as a planning authority, maintain highways and public transport; refuse collection, street cleaning, revenues and benefits, public protection and sports, arts and libraries.
- 1.4 The Council continues with its commitment to the Transformation Programme, strong financial management and performance management and robust business planning and service planning.

## **2. Improvement Priorities for 2016-20**

2.1 Bridgend County Borough Council recognises that it will have to make significant changes to the way they think and operate in order to meet the significant challenges ahead – not least the increasing demands made on many of the Council’s services, against the background of a shrinking budget. The Council has a clear and simple vision and that is, always to act as:-

**“One Council working together to improve lives”.**

2.2 The Council’s values have not changed and continue to represent what the Council stands for and influences how they work. The Council’s values are:-

- **Fair** – taking into account everyone’s needs and situation;
- **Ambitious** – always trying to improve what we do and aiming for excellence;
- **Citizen-focused** – remembering that we are here to serve our local communities;
- **Efficient** – delivering services that are value for money.

2.3 The Council has also identified three well-being outcomes that will be their focus over the coming four years. These outcomes are intended to improve the quality of life of people in the County while significantly changing the nature of the Council. The three outcomes are as follows:

<b>Supporting a successful economy</b>	<b>Helping people to become more self-reliant</b>	<b>Smarter use of resources</b>
A successful, sustainable and inclusive economy that will be supported by a skilful, ambitious workforce.	Individuals and families that will be more independent and less reliant on traditional Council services.	A Council that has lean, robust processes and a skilful workforce. A supported third/community sector with the opportunity to take on services that meet citizens’ needs.

### 3. Well-being Objectives

3.1 In April 2016, the Well-being of Future Generations (Wales) Act 2015 came into effect. The Act is about improving the economic, social, environmental and cultural well-being of Wales. It places a duty upon all public bodies to apply the

principles of sustainable development to ensure that present needs are met without compromising the ability of future generations to meet their own needs. The Act sets out seven long-term goals:

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh language
- A globally responsible Wales.

3.2 As a public body, Councils have a duty to work towards achieving these seven goals. The Act requires that the Council set its well-being objectives and take steps to realise them. The Act requires the Council to do things differently, applying sustainable development to everything it does. The Council is committed to the sustainable development principles, always acting in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their needs. The five ways of working, defined by the Act – long term, prevention, integration, collaboration and involvement – will underpin everything the Council does and help to improve the well-being of the area and make the County Borough a good place for people to live, work, study and visit.

#### 4. Corporate Priority Outcomes

4.1 The following table outlines the three priority outcomes set by the Council and what will help to achieve these aims.

Priority	Description	Key Projects and Programmes
<b>One – supporting a successful economy</b>	This means the Council will take steps to make the county a good place to do business and to ensure that schools are focused on raising the skills, qualifications and ambitions of	<p><b>City Deal</b> – Working with neighbouring South East Wales Councils, we are seeking a ‘City Deal’ from the UK and Welsh Government which could result in around £1 billion investment in major capital projects in the Cardiff City Region over the next 10-15 years.</p> <p><b>Strategic Review of Post 16 Education and Training</b> – A strategic review to</p>

	all people in the county.	<p>evaluate education provision and curriculum delivery with Bridgend College to ensure that there are clear options available to provide the best possible opportunities for learners in Bridgend.</p> <p><b>Successful Economy Programme</b> – key regeneration and local development schemes including: - Vibrant and Viable scheme with external funding of £9.6 million, which is redeveloping the Rhiw Car Park in Bridgend and creating a community living in the heart of the town centre by converting vacant space over shops into accommodation.</p> <p><b>Alignment of the Welsh Government Grants</b> – The Council will streamline and make flexible use of major grants to support families through early help and to address poverty.</p>
<b>Two – Helping people to be more self-reliant</b>	This means the Council will take early steps to reduce or prevent people from becoming vulnerable or dependent on the Council and its services.	<p><b>Remodelling Social Care:-</b> This is a large programme which includes recommissioning adult home care, developing extra care and information and advice services for people and their carers.</p> <p>Working with partners creating a Multi-Agency Safeguarding Hub as a single point of contact for all safeguarding concerns. Looking at existing models of residential care for children and young people and respite care for children with disabilities in order to make them more targeted and more effective.</p> <p><b>Community Asset Transfer</b> – transferring assets to communities to manage while making the most of the assets retained.</p>
<b>Three – Smarter use of resources</b>	This means the Council will ensure that all its resources (financial, physical, human and technological) are used as effectively and efficiently as possible and support the development of resources throughout the community that	<p><b>Digital Transformation Programme</b> – changing the way the Council operates to enable customers to access information, advice and services on line.</p> <p><b>Rationalising the Council’s estate</b> – disposing of assets, transferring assets to communities to manage while making the most of the assets retained.</p> <p><b>Schools’ Modernisation Programme</b> – investing in a sustainable education</p>

	can help deliver the Council's priorities.	system in school buildings that reduces cost and their carbon footprint.
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**5. Corporate Priorities – Social Services and Wellbeing Directorate**

<b>Council Priority</b>	<b>Objective</b>	<b>Social Services and Wellbeing Directorate - (Actions)</b>
<b>One – Supporting a successful economy</b>	To help local people develop skills and take advantage of opportunities to succeed.	Continue to work with the Cardiff Capital Regional Skills and Employment Board and Bridgend County Borough Council led local projects to help shape employment opportunities, and develop a skilled workforce to meet those needs.
<b>Two – Helping people to be more self-reliant</b>	To give people more choice and control over what support they receive by providing early access to advice and information.	Continue to improve the ways in which the Council provides good information, advice and assistance to the public, including increasing the support available through local community co-ordinators.  Continue to involve service users, carers and communities in developing and commissioning services.
	To reduce demand by investing in targeted early help and intervention programmes.	Implement a new 52-week residential service model for disabled children and young people.  Establish a new model of residential provision for looked after children and young people.  Finalise a transition service model to help disabled children move smoothly into adulthood.
	To support carers in maintaining their role.	Work with partners and schools to support carers by providing the right information, advice and assistance where relevant.  Recruit and retain carers across the range of fostering services.
	To support the third sector, town and community councils and community groups to meet local needs.	Work with partners and the third sector to identify the best way of providing services within local communities.  Enable community groups and the third sector to have more choice and control over community assets.

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<b>Three – Smarter use of resources</b>	To achieve the budget reductions identified in the MTFS.	Implement the planned budget reductions identified in the 2017-18 budgets.
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## 6. Key Service Data

### 6.1 Staff

Service	2016/17 (01.05.16)		2017/18 (31.12.2016)	
	FTE	Headcount	FTE	Headcount
Adult Social Care	645.81	929	630.53	902
Business Support - SS&W	59.80	66	62.09	69
Children's Social Care	158.11	200	155.05	200
Prevention & Wellbeing	15.51	20	16.51	21
<b>DIRECTORATE</b>	<b>880.23</b>	<b>1215</b>	<b>865.18</b>	<b>1192</b>

### 6.2 Finance

Budget	2016-17	2017-18	2018-19	2019-20	2020-21
	(Actual) £'000	(Actual) £'000	(Indicative) £'000	(Indicative) £'000	(Indicative) £'000
<b>Safeguarding Family Support</b>					
Children's Services	17,573	18,223	17,963	17,963	17,963
<b>Sports Play And Active Wellbeing</b>					
Recreation And Sport	2,336	5,101	5,081	5,081	5,081
<b>Adult Social Care And Wellbeing</b>					

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Older People	19,633	19,666	18,671	18,671	18,671
Adult Phys Dis/Sens Impairment	3,919	3,872	3,872	3,872	3,872
Adults Learning Disabilities	12,753	12,548	12,548	12,548	12,548
Adults Mental Health Needs	2,728	2,616	2,616	2,616	2,616
Other Adult Services	216	209	209	209	209
Adult Services Management & Admin	2,186	2,448	2,448	2,448	2,448
<b>MTFS Savings Yet To Be Allocated</b>				(363)	(363)
<b>NET BUDGET TOTAL</b>	<b>61,344</b>	<b>64,683</b>	<b>63,408</b>	<b>63,045</b>	<b>63,045</b>

## 7. Corporate Risks

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

Risk Description	Score
Supporting Adults at risk	20
Supporting vulnerable children, young people and their families.	20
Healthy lifestyles	16

## 8. The Risk Assessment Process

8.1 The information which has been used to prepare the risk assessment and proposed internal audit plan for the Directorate of Social Services & Wellbeing 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.

8.2 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.

### 9. Proposed Internal Audit Plan for the Social Services and Wellbeing Directorate 2017-18

#### SOCIAL SERVICES & WELLBEING DIRECTORATE

Area	Identified Risk(s)	Type	Audit Scope	Total Days
<b>Section 117</b>	H	Assurance	This review has been carried forward from 2016/17. To follow up on the recommendations made in the 2014/15 Internal Audit Report to ensure adequate progress has been made to address the internal control weaknesses.	<b>20</b>
<b>Social Services &amp; Wellbeing Act</b>	H	Assurance / Governance / Risk	The formal implementation date of the Act was April 2016, it will take a significant period of time to bed in due to the introduction of new ways of working and the inevitable impact this will have on the present culture, custom and practice. Therefore, Internal Audit will continue a programme of reviews, provide advice and support where needed to provide overall assurances on the robustness of the systems and processes put in place as they develop.	<b>35</b>
<b>Leisure</b>	M	Assurance / Governance	To review the overall strategic direction and funding requirements in relation to the National Exercise Referral Programme and other associated programmes and initiatives.	<b>20</b>
<b>Adult Social Care &amp; Wellbeing</b>	H	Assurance / Governance / Risk	Reviews will be undertaken relating to the effectiveness of quality assurance processes within Adult Social Care & Wellbeing which will provide assurance on the internal control, governance and risk management environment.	<b>25</b>
<b>Total – Social Services &amp; Wellbeing</b>				<b>100</b>
<b>Additional Reviews to be considered if resources available.</b>				
Children	H	Governance	An independent review of the corporate governance arrangements over children social care	<b>20</b>

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			to provide assurance that these remain effective and achieve appropriate outcomes for children and young people.	
Funding	M	Assurance	To assess whether there is robust challenge over the placement identification process and pricing, and whether all information is required and received by the appropriate Panels.	<b>20</b>
Payments to providers	M	Assurance	To review how quickly after contract award, service providers are set up on the system and accurately paid.	<b>15</b>
			<b><i>Overall Total – Social Services &amp; Wellbeing</i></b>	<b>155</b>