

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
DIRECTORATE OF SOCIAL SERVICES AND WELLBEING**

2015 – 2016

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 adult social care. They have now integrated sport and play into the directorate to ensure that children and adults are given every opportunity to improve their wellbeing and keep active regardless of their skills and abilities. The Social Services & Wellbeing Directorate will particularly aim to promote sport play and active wellbeing into the 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). The business plan 2015-16 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.

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	Social Services & Wellbeing – Commitments (Actions)
<p>IP4 – WORKING TOGETHR TO HELP VULNERABLE PEOPLE TO STAY INDEPENDENT</p>	<p>Work with service users, carers and partners, including the third sector, to develop services in a way which supports people to remain independent for longer and only access statutory services when absolutely necessary.</p>	<p>Produce and consult on the prevention and wellbeing strategy that includes the coordination of support, information and advice available in local communities.</p> <p>Increase the range and accessibility of advice and information for carers.</p> <p>Establish and integrated operational model for the Learning Disability Community Support Team.</p> <p>Develop a regional quality framework to monitor and improve the quality of care.</p>
	<p>Work with all of 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.</p>	<p>Help vulnerable people retain their dignity and stay as independent as possible in accommodation that best meets their needs.</p> <p>Further develop crisis prevention, support and accommodation options for people with mental health needs, that promotes independence and prevents hospital admission.</p> <p>Continue the development of two new extra-care schemes across the borough.</p> <p>Continue the transformation of homecare services.</p>
<p>IP5 – WORKING TOGETHER TO TACKLE HEALTH ISSUES AND ENCOURAGE HEALTHY LIFESTYLES.</p>	<p>Embed healthy eating messages in early years settings, such as schools, youth organisations, leisure services and community groups.</p>	<p>Through the Family Active Zone initiative, promote nutrition, physical activity and family relationships for positive lifestyle change.</p>
	<p>Work with partners to address priority issues such as mental wellbeing, childhood obesity,</p>	<p>Implement the primary and secondary school national sport programme to increase physical activity levels.</p>

	alcohol, smoking and substance misuse, especially among young people.	Continue to deliver the national Exercise Referral Programme in partnership with HALO Leisure to help reduce obesity levels and encourage better weight management across the county borough.
	Work with a range of partners to develop services and opportunities that encourage and promote life-long physical activity, including making the best use of out right of way, cycle ways, community routes and green space.	Develop services and opportunities that encourage and promote life-long physical activity particularly amongst under represented group, by working in partnership with HALO Leisure and a range of community partners. Co-ordinate the Love to Walk Programme to support community walking networks. Identify and promote new initiatives that support the health and wellbeing of employees
IP6 – WORKING TOGETHER TO MAKE THE BEST USE OF OUR RESOURCES	Implement the Council's Medium Term Financial Strategy and deliver the savings required.	Deliver the savings proposals identified in the 2015-16 budget.

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 – Social Services & Wellbeing and are shown under each improvement priority.

Risk Ref.	Risk	Inherent Risk Score	Residual Risk Score
IP4 – WORKING TOGETHER TO HELP VULNERABLE PEOPLE STAY INDEPENDENT			
	Supporting Vulnerable People	24	20
IP5 – WORKING TOGETHER TO TACKLE HEALTH ISSUES AND ENCOURAGE HEALTHY LIFESTYLES			
	Healthy Life Styles	20	16

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 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.

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 Social Services & Wellbeing 2015-16

DIRECTORATE – SOCIAL SERVICES & WELLBEING

Area	Identified Risk(s)	Audit Scope	Total Days
Section 117	Internal Control weaknesses highlight in 2014/15	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.	15
Occupational Therapy	More demands on service.	To review the adequacy and effectiveness of the procedures and processes surrounding the services delivered via Occupational Therapy (including Bridgestart and Community Occupational Therapist).	20
Home Care /	Quality of Care does	Examination of a sample of contracts and commissioning arrangements. A review to ensure	20

Domiciliary Care	not meet the required standards.	contract risks are being identified and quantified; value for money is being obtained; contracts are monitored; performance is assessed; invoices are accurate; compliance with corporate policies and domiciliary care standards are up to date. The programme of transformation of homecare services is being achieved.	
Assessment Framework	Payments to providers etc. are inappropriate, not accounted for or set up properly.	To review the process for setting up service providers on the system and the accuracy of payments made. Ensure financial controls are appropriate in relation to payments to providers. This review will incorporate the impact of the Social Services and Wellbeing Act and the new assessment framework for older people.	20
Safeguarding	Adults and Children are not safeguarded.	Case Management of safeguarding incidents are dealt with in accordance with the Council's Safeguarding policies and procedures. This review will also incorporate an assessment of the Council's overall operating model for safeguarding.	20
Leisure / Sport, Play and Active Wellbeing	Reputational Risk for the Council.	Compliance audit to ensure contractual arrangements are being effectively monitored within the provision of leisure services. Ensure appropriate governance arrangements in relation to the partnership arrangements for Sport, Play and Active Wellbeing.	15
IT	Local communities unable to access the necessary advice, information and support needed.	To review the implementation of appropriate integrated ICT Systems to ensure adequate arrangements are in place to achieve the Directorate's Improvement Priority.	15
Transport Grant	Inappropriate claims which may lead to funding claw back.	Carry out appropriate investigations and checks, to ensure that in all significant respects, the conditions attached to the Transport Grant have been complied with.	5
		Overall Total – Social Services & Wellbeing	130

NOT INCLUDED WITHIN THE 2015-16 ANNUAL AUDIT PLAN

Area not included	Identified Risk(s)	Audit Areas to be considered if capacity available	Total Days
ARC	Never Audited	Assisted Recovery in the Community (ARC) – provides day time opportunities for individuals with mental health issues.	
Care and Repair	Last audited five years ago.	Provides home improvements to allow people with disabilities to remain in their home. Includes safety checks, small repairs and adaptations to major repairs or a specially adapted bathroom.	
Carers' Measure	Never Audited	Compliance audit to ensure a Joint Carers Information Strategy has been implemented to comply with Legislation.	
Direct Support	Never Audited	Direct Payments has been audited before but has not included the extension of Direct Payments known as "Citizen Direct Support" which gives service users individual or notional budgets to enable them to choose how their needs are met by purchasing services themselves. (Direct Payments has been audited before).	