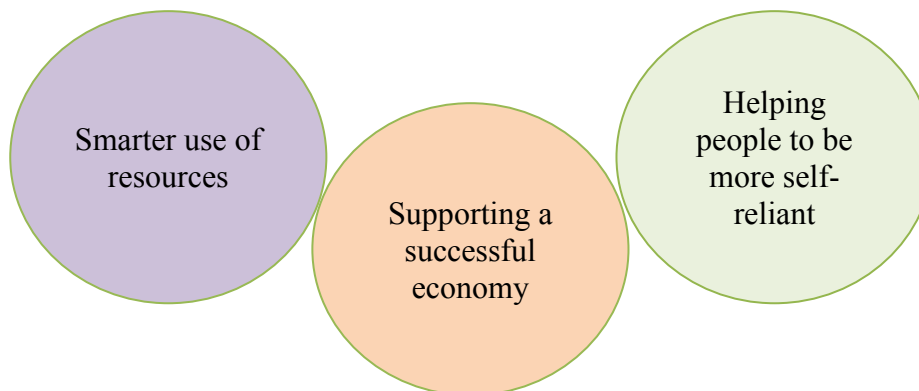


Partneriaeth Pen-y-Bont a'r Fro
Bridgend & Vale Partnership
working together - gweithio ar y cyd



BRIDGEND COUNTY BOROUGH COUNCIL WORKING TOGETHER TO IMPROVE LIVES

**INTERNAL AUDIT SHARED SERVICE
DRAFT ANNUAL AUDIT PLAN FOR THE EDUCATION & FAMILY SUPPORT DIRECTORATE
2016 – 2017
Bridgend CBC**

1. Introduction

1.1 The Education & Family Support Directorate Business plan brings together the priorities for developing their ‘core business’ together with the step changes they need to continue to progress in order to transform other areas of work. 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 commitment to close the gap in educational attainment between pupils eligible for free school meals and those who are not.

1.2 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 2015-17

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:

Supporting a successful economy	Helping people to become more self-reliant	Smarter use of resources
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. Corporate Priority Outcomes

3.1 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
One – supporting a successful economy	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 all people in the county.	<p>City Deal – 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>Strategic Review of Post 16 Education and Training – A strategic review to 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>A Good to Great School Strategy – ensuring the many good schools become excellent schools.</p> <p>Successful Economy Programme – 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. – Regeneration of Porthcawl</p>

		including funding of £0.28 million for the Porthcawl Rest Bay Waterside Cycle Path and £0.89 million for Porthcawl Townscape Heritage Initiative (2015-16 to 2018-19) to regenerate heritage buildings. – Llynfi Sites Reclamation funding of £2.5 million.
Two – Helping people to be more self-reliant	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>Remodelling Social Care:- This is a large programme which includes recommissioning adult home care, developing extra care and information and advice services for people and their carers. 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>Community Asset Transfer – transferring assets to communities to manage while making the most of the assets retained.</p>
Three – Smarter use of resources	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 can help deliver the Council's priorities.	<p>Digital Transformation Programme – changing the way the Council operates to enable customers to access information, advice and services on line.</p> <p>Rationalising the Council's estate – disposing of assets, transferring assets to communities to manage while making the most of the assets retained.</p> <p>Schools' Modernisation Programme – investing in a sustainable education system in school buildings that reduces cost and their carbon footprint.</p> <p>Procurement Programme – pursuing new opportunities and practices to maximise the benefit the Council gets when they buy goods and services.</p> <p>Commercialisation Programme – identifying the opportunities for generating additional income to support and protect core services.</p>

4. Corporate Education & Family Support

DIRECTORATE – EDUCATION & FAMILY SUPPORT PROPOSED PLAN 2016-17

Council Priority	Objective	Education & Family Support - (Actions)
One – Supporting a successful economy	To help local people develop skills and take advantage of opportunities to succeed.	<p>Work with schools to close the gap in educational attainments between pupils entitled to free school meals and those who are not and improve outcomes for vulnerable groups.</p> <p>Continue to work with schools to develop a range of options for young people who are more able and talented than their peers.</p> <p>Co-ordinate and implement the Youth Engagement and Progression Framework to reduce the number of NEETS.</p> <p>Work to ensure that children and young people who reach age 16 are in further education, training or employment until at least age 24 in line with the Youth Guarantee.</p> <p>Work with all “Pathways pathway to Success” schools to maximise opportunities for learners to develop and improve.</p> <p>Deliver the Strategic Review into the rationalisation of curriculum and school estates.</p>
Two – Helping people to be more self-reliant	To give people more choice and control over what support they receive by providing early access to advice and information.	Work with partners to ensure early identification of children and families in need of support.
	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.
	To support the third sector, town and community councils and community groups to meet local needs.	<p>To develop capacity of the 3rd sector by finding new ways of working together</p> <p>To enable community groups and third sector to have more voice and control over community assets.</p>
Three – Smarter use of resources	To achieve the budget reductions identified in the Medium Term Financial Strategy.	Implement the planned budget reductions identified for 2016-17 budgets.
	To improve the efficiency of and	Develop a range of automated and online services that are easy for citizens to use.

	access to services by redesigning our systems and processes	Move most common internal processes to automatic to reduce transaction costs and streamline processes.
	To develop the culture and skills required to meet the needs of a changing organisation.	

5. 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 Education & Family Support Directorate and are shown under each improvement priority.

Risk Description	2016-17 Score
Supporting Vulnerable Children	16
Educational provision	12
Educational attainment	12
School modernisation	12

6. The Risk Assessment Process

6.1 The information which has been used to prepare the risk assessment and proposed internal audit plan for the Education & Family Support Directorate has been collected and collated from a number of different sources including the information as identified 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.

6.2 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.

7. Proposed Internal Audit Plan for the Education & Family Support Directorate 2016-17

EDUCATION & FAMILY SUPPORT DIRECTORATE

Area	Identified Risk(s)	Audit Scope	Total Days
Youth Services	Inability to provide the appropriate support for Young People and Families.	To review the provision of Youth Services to ensure that: A clear strategy is in place. Services are being delivered against objectives and outcomes. Sound governance arrangements are in place to ensure performance against objectives is reported. Objectives have been met following the integration with Family Support Services	15
Education Grants	Failure to meet the Terms and Conditions of grant funding could result in claw-back.	To provide validation and certification on specific grants as required.	5
IT	ICT systems are not fit for form or fit for purpose.	To review the overall IT strategy for the Directorate to ensure that emerging technology are aligned to the overall objectives of the services being delivered; are compatible and are fit for purpose. We will therefore select an area for an in-depth review where we will consider the security around the application, including access controls, how sensitive access is controlled, segregation of duties, how program changes are controlled. In addition, this review will assess how new projects are assessed and approved and the appropriateness of admin user access.	20
CRC	An incorrect return has been submitted.	To review the accuracy of the Council’s return and provide audit assurance on the Carbon Reduction Certification process.	10
Built Environment	Changes in key personnel and	To follow up on the 2015/16 audit review which examined the impact on the control environment as a result of Business support being centralised? Due to the limited	15

DIRECTORATE – EDUCATION & FAMILY SUPPORT PROPOSED PLAN 2016-17

	responsibilities resulting in weakened controls.	amount of available evidence for testing it was agreed that this would be undertaken during 2016/17.	
School Modernisation Programme	Failure to meet improvement priorities.	To undertake a review of the School Modernisation Programme to ensure that projects are being managed in accordance with the Council's Project Management Methodology; Financial and Contract Procedure Rules are being complied with and that sound governance and risk management arrangements are clearly evident.	25
Schools Programme		Provide assurance over the finance and governance arrangements in schools via a number of risk assessed audits at individual schools focused on specific issues of concern. This allocation will also include (resource permitting) thematic audits across all schools. This allocation will also include providing assurance over the finance and governance arrangements in schools via the Controlled Risk Self-Assessment process.	65
		Overall Total – Education & Family Support	155