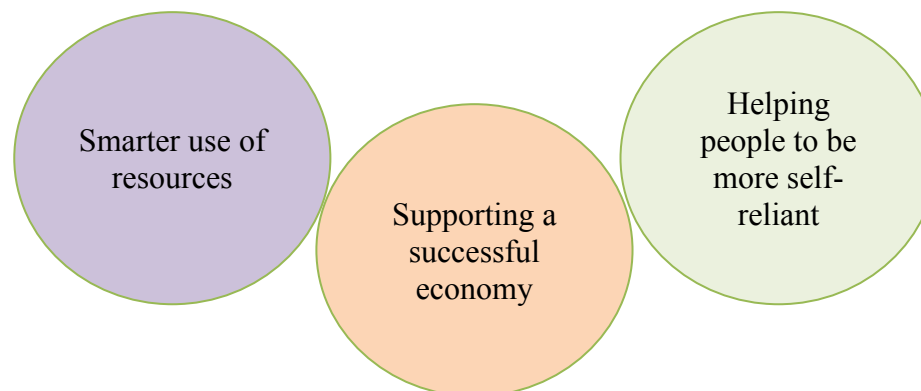


Partneriaeth Pen-y-Bont a'r Fro
Bridgend & Vale Partnership
working together - gweithio ar y cyd



BRIDGEND COUNTY BOROUGH COUNCIL WORKING TOGETHER TO IMPROVE LIVES

**INTERNAL AUDIT SHARED SERVICE - DRAFT ANNUAL AUDIT PLAN
FOR THE OPERATIONAL AND PARTNERSHIPS SERVICES DIRECTORATE**

2016 – 2017

Bridgend CBC

1. Introduction

- 1.1 The Operational & Partnerships Services Directorate is acutely aware that its role is to support the Authority in the achievement of its Corporate Priorities but also to support those functions the Authority is required to undertake whether a priority or not. The impact of the Medium Term Financial strategy not only provides the service priorities of the department but also impact on the ability of the department to provide those services. The department's first priority will be to focus on the stated corporate priorities in the corporate plan and corporate projects that feed into it. The department's assets are its staff and the skills that they hold. Significant reductions in staffing have already been made and it is recognised that chargeable hours and workloads more generally are extremely high. Workforce support and planning will play a significant role in the management of service for the future and it is recognised that uncertainty over the future of local government in Wales is a factor in staff retention.
- 1.2 The Directorate provides a genuine mix of internal, collaborative, joint and external service provision. The Directorate is well placed for the future, has the culture to continuing delivering services.
- 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 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.

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Priority	Description	Key Projects and Programmes
<p>One – supporting a successful economy</p>	<p>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>	<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 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.</p>
<p>Two – Helping people to be more self-reliant</p>	<p>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>	<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</p>

		targeted and more effective. Community Asset Transfer – transferring assets to communities to manage while making the most of the assets retained.
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.	Digital Transformation Programme – changing the way the Council operates to enable customers to access information, advice and services on line. Rationalising the Council's estate – disposing of assets, transferring assets to communities to manage while making the most of the assets retained. Schools' Modernisation Programme – investing in a sustainable education system in school buildings that reduces cost and their carbon footprint. Procurement Programme – pursuing new opportunities and practices to maximise the benefit the Council gets when they buy goods and services. Commercialisation Programme – identifying the opportunities for generating additional income to support and protect core services.

4. Corporate Priorities – Operational & Partnerships Services Directorate

Council Priority	Objective	Operational & Partnerships Services Directorate - (Actions)
One – Supporting a successful economy	To help local people develop skills and take advantage of opportunities to succeed.	Implement projects with public sector bodies and local businesses to establish employer skill needs and influence local provision. Work with individuals and families who are unemployed or economically inactive, face barriers to work or are at risk of poverty by providing employment mentoring, training and other support, to improve their job opportunities. Implement the LEAD (more able and talented) project with partners to develop a programme to support young people with leadership.
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	Provide support to families through the Families First Programme to help reduce child poverty.

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	advice and information.	
Three – Smarter use of resources	To achieve the budget reductions identified in the MTFS.	Implement the planned budget reductions identified for 2016-17 budgets.
	To improve the efficiency of and access to services by redesigning our systems and processes	Review Legal and Regulatory software and systems to streamline business processes. Implement the next phase of the remodelled Shared Regulatory Service. Support managers to lead staff through organisational change. Restructure the procurement process and monitor our contracts register to ensure best value is achieved through e procurement and the contracts framework.

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 Service and are shown under each improvement priority.

Risk Description	2016-17 Score
Collaboration with partners	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 Operational & Partnerships Services Directorate 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.

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

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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 Operational & Partnerships Services Directorate 2016-17

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Area	Identified Risk(s)	Audit Scope	Total Days
Procurement / Project Compliance Framework / contract register	Non compliance with CPR and FPR's Expenditure Ultra Vires.	Review of the operation of key controls including tendering, ordering, commitments, compliance with Contract and Financial Procedure Rules.	30
ICT	Failure to meet expectations, Reputational Damage.	ICT systems within the Resources Directorate will include: Info@work; Open Contractor; Sharepoint and Trent.	50
Human Resources	Loss of a number of key staff. Failure by External Audit to be able to place reliance on work. Failure to meet expectations of the	Payroll – To review the operation, efficiency and effectiveness of the Council's payroll system. A systems based approach will be utilised considering key risk exposure and controls. The review will examine HR records to ensure the completeness and accuracy of the establishment, HR records and contractual evidence surrounding Starters and Leavers. The approach will include continuous auditing of key controls throughout the year using techniques such as data mining. An audit of the provision of CCTV will be undertaken to provide the necessary assurances under the Shared Service agreement.	15 10

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	Shared Service arrangement.		
		<i>Overall Total – Operational & Partnerships Services Directorate</i>	105