



BRIDGEND COUNTY BOROUGH COUNCIL WORKING TOGETHER TO IMPROVE LIVES

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

2016 – 2017

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 2016-17 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 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
<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</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.</p>

	Council and its services.	<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>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 Priorities – Social Services and Wellbeing Directorate

Council Priority	Objective	Social Services and Wellbeing Directorate - (Actions)
Two – Helping people to be more self-reliant	To reduce demand by investing in targeted early help and intervention programmes	<p>Further develop local community coordination to enable communities to be more self-reliant.</p> <p>Develop appropriate mechanisms to enable the Council to provide good information, advice and assistance to the public.</p> <p>Involve service users, carers and communities in developing and commissioning services.</p>

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	To give people more choice and control over what support they receive by providing early access to advice and information.	Develop a multi-agency safeguarding hub to provide effective multi-agency response to safeguarding issues. Review and consider new models of service delivery for respite and residential care to ensure a flexible support and service to people when they need it. Develop an appropriate service model for children in transition from childhood to adulthood, including children with disabilities and children leaving care. Ensure appropriate services are available to children at risk from child sexual exploitation (CSE)
	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.
	Support the third sector, town and community councils and community groups to meet local needs.	Enable community groups and the third sector to have more voice and control over community assets.
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 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 Social Services and Wellbeing Directorate and are shown under each improvement priority.

Risk Description	2016-17 Score
Supporting vulnerable people	20
Supporting vulnerable children	16
Healthy lifestyles	16

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 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.

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 Social Services and Wellbeing Directorate 2016-17

SOCIAL SERVICES & WELLBEING DIRECTORATE

Area	Identified Risk(s)	Audit Scope	Total Days
Section 117 Follow up	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
Social Services and Wellbeing Act	Reputational Risk, Breach of legislation.	Whilst the formal implementation date of the Act 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. Therefore, a contingency is built in to provide advice and support where needed and to provide overall assurances on the robustness of the systems and processes put in place as they develop.	40

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Mental Health Act	Failure to comply with legislative requirements.	To provide overall assurance on compliance with the Act.	15
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.	20
Data	Reputational Risk for the Council. Failure to comply with legislative requirements. Breaches.	To provide assurance on the procedures and processes in place for handling data ensuring its accuracy and integrity.	15
		<i>Overall Total – Social Services & Wellbeing</i>	105