

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



**COUNCIL'S VISION – 'STRONG COMMUNITIES WITH A BRIGHT FUTURE'**

**INTERNAL AUDIT SHARED SERVICE  
DRAFT ANNUAL AUDIT PLAN FOR THE LEARNING AND SKILLS DIRECTORATE**

**2016 – 2017**

**VALE OF GLAMORGAN COUNCIL**

## 1. Introduction

- 1.1 The service areas of Strategy, Community Learning and Resources and School Improvement and Inclusion, combine to form the **Learning and Skills Directorate**. The Directorate has a wide range of statutory duties and its primary role is to work in collaboration with key stakeholders to develop effective, confident and independent learners who enjoy a sense of personal well-being, enabling them to share their learning with others and to contribute to their community and society.
- 1.2 **Strategy, Community Learning and Resources** undertake a number of key roles for the Council. The team provide exciting, innovative and relevant learning opportunities for all learners in the Vale, securing the best possible learning environment, for every child, young person and adult within the Vale in order that they can develop their full potential.
- 1.3 The **School Improvement and Inclusion Service** undertake a number of key roles for the Council. The team works in partnership with the Central South Consortium Joint Education Service (CSC JES) to challenge, monitor and support schools to promote excellence and intervene as necessary to ensure that underperformance, or potential underperformance, is addressed. The team provide exciting, innovative and relevant learning opportunities for all learners in the Vale, securing the best possible learning environment, for every child and young person within the Vale in order that they can develop their full potential. In addition, the service provides advice and support to schools, pupils and families for those pupils with additional learning needs.

## 2. Council's Core Values

2.1 The Council has shared values and is committed to delivering its priorities within the context of the Council's core values:

- **Ambitious:** Forward thinking, embracing new styles of working and investing in our future.
- **Open:** Open to different ideas and being accountable for the decisions we take.
- **Proud:** Proud of the Vale of Glamorgan: proud to service our communities and to be part of the Vale of Glamorgan Council.
- **Together:** Working together as a team that engages with our customers and partners, respects diversity and is committed to quality services.

2.2 The Council's priorities are contained in the Corporate Plan 2016-20 and are expressed as well-being outcomes and objectives. These have been decided upon following consultation with key stakeholders including citizens of the Vale of Glamorgan. The Council's well-being outcomes and objectives are:

<b>Well-Being Outcome</b>	<b>An Inclusive and Safe Vale</b>	<b>An Environmentally Responsible and Prosperous Vale</b>	<b>An Aspirational and Culturally Vibrant Vale</b>	<b>An Active and Health Vale.</b>
<b>Well-Being Objective</b>	Reducing poverty and social exclusion	Promoting regeneration, economic growth and employment.	Raising overall standards of achievement.	Encouraging and promoting active and healthy lifestyles.
<b>Well-Being Objective</b>	Providing decent homes and safe communities.	Promoting sustainable development and protecting our environment.	Valuing culture and diversity.	Safeguarding those who are vulnerable and promoting independent living.

2.3 The well-being objectives illustrate the contribution Council services will make to achieving the Well-Being Goal for Wales. The Well-being Goals have been established to ensure all relevant bodies in Wales are working towards the same vision as part of the Well-Being of Future Generations (Wales) Act 2015. The Act is about improving the social, economic, environmental and cultural well-being of Wales.

### 3. Corporate Plan Priorities

**Strategy, Community Learning and Resources** will take the action outlined below to contribute to the Well-being outcomes and objectives during 2016/17.

Well-Being Outcome	Well-being objective	Actions
<b>An Aspirational Vale</b>	Raising overall standards of achievement  Valuing culture and diversity	<p><b>AC4</b> – Reduce the number of young people not in education, employment or training.</p> <p><b>AC6</b> – Implement the Youth Service National Outcomes Framework to ensure young people (11 – 25) can access quality youth support services.</p> <p><b>AC8</b> – Progress the school modernisation programme by completing the new Llantwit Major Learning Community and the development of proposals for secondary school provision in Barry.</p> <p><b>AC9</b> – Develop a new school modernisation programme I readiness for the next 21<sup>st</sup> century schools funding due to commence in 2019/20.</p> <p><b>AC13</b> – Work with community partners to deliver a vibrant and diverse Library service.</p> <p><b>AC14</b> – Establish an Education and Arts Hub within the Central Library in Barry.</p> <p><b>AC15</b> – Review and implement the Vale Arts Strategy with an increased focus on marketing and regional working.</p>

**The School Improvement and Inclusion Service** will take the action outlined below to contribute to the Well-being outcomes and objectives during 2016/17.

<b>Well-Being Outcome</b>	<b>Well-being objective</b>	<b>Actions</b>
<b>An Aspirational and Culturally Vibrant Vale</b>	Raising overall standards of achievement.	<p>AC1 – Improve standards of achievement of pupils through sharing excellence between schools and the targeting of resources (2018-19).</p> <p>AC2 – Secure improved outcomes for groups of learners at risk of underachievement, such as those entitled to free school meals (2017-18).</p> <p>AC3 – Increase the learning opportunities for disadvantaged individuals and vulnerable families (2018-19).</p> <p>AC5 – Improve outcomes for post 16 learners through greater co-operation between schools, training providers and businesses (2017-18)</p> <p>AC7 – Secure aspirational outcomes for learners with additional learning needs through early intervention and effective collaboration in line with the proposed Additional Learning Needs Bill (2017-18).</p>

#### 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 have been highlighted by **Strategy, Community Learning and Resources** as the key risks over the coming year and how they plan to manage them.

Risk	Mitigating Controls
<b>Developing community capacity and resilience to deliver services locally that continue to meet needs.</b>	Implementing the Libraries Strategy in partnership with Vale communities to facilitate provision of local library services to meet need.
<b>Sustaining opportunities for Adult and Community Learning in the context of reduced funding</b>	Planning for adult and community learning prioritises opportunities for priority learners.
<b>Failure to deliver the current School Reorganisation and Investment Programme and to develop a new programme in readiness for Band B of 21<sup>st</sup> Century Schools</b>	
<b>Failure to reduce surplus places impacts on effective resource management in schools.</b>	Monitoring of pupil projections at individual schools to assess if surplus accommodation can be removed.
<b>Failure to meet demand for Welsh medium education.</b>	Implementation of the school investment programme which includes rationalisation of the school estate and removal of surplus capacity.
<b>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety</b>	Prioritisation of asset renewal addresses the highest health and safety risks. Regular budget monitoring, maximising opportunities to secure additional funding to address risks.

The following have been highlighted by the **School Improvement and Inclusion Service** as the key risks over the coming year and how they plan to manage them.

Risk	Mitigating Controls
<b>Failure to hold the CSC JES properly to account for the quality of services it provides to schools.</b>	Strong oversight of JES outputs, outcomes and quality is maintained by the Director and Head of Service for School Improvement and Inclusion via regular Directors/Heads of Service and Operational Management Board meetings, existing scrutiny arrangements and the Corporate Risk Management Group.
<b>The quality of leadership and governance in schools is insufficient to deliver outcomes.</b>	Commissioning via the consortium of leadership and governor support programmes. Structured mentorship programme for new Head Teachers and underperforming schools. Middle level leadership programme in place in all schools. Systems in place to intervene when poor performance is identified in schools. Support for governing bodies in recruiting new Head Teachers and deputies.
<b>Sustaining appropriate levels of service delivery to meet growing numbers of children with special education needs (SEN) and managing customer expectations in light of reduced capacity.</b>	Reviewing SEN provision as part of the Council's Reshaping Services agenda, including reprioritisation of provision to meet growing demand.  Considering joint working/collaboration options with others to deliver shared services as part of the reshaping agenda.
<b>Meet new legislative requirements and the challenges they pose for delivering services on reducing budgets e.g. the Additional Learning Needs Bill.</b>	Effective engagement with staff, partners/stakeholders and service users. Develop succession planning with the directorate
<b>Failure to ensure safety of our learners.</b>	Continue to maintain schools 100% compliance with the Safer Recruitment Policy, which is regularly monitored.

## 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 **Learning and Skills 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 Service Plans, Corporate Risk Register and meeting / interviewing 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 Learning and Skills Directorate 2016-17

### LEARNING AND SKILLS DIRECTORATE

Area	Identified Risk	Audit Scope	Total Days
Compliance	H	Compliance work within Schools. To ensure that the Council's School Buildings are fully compliant and have all the necessary up to date certificates including Electricity, Gas, asbestos, legionella, fire, lifts etc. to demonstrate regular inspections and Testing are being undertaken.	25
Schools	H	To undertake a number of school based reviews in accordance with Internal Audit's risk based schools assessment.	80
ICT	H	To undertake a review of the provision of ICT services within schools to ensure compatibility, sustainability and compliance.	20

<b>Area</b>	<b>Identified Risk</b>	<b>Audit Scope</b>	<b>Total Days</b>
		<i>Total</i>	<b>125</b>