

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 SOCIAL SERVICES DIRECTORATE**

2016 – 2017

VALE OF GLAMORGAN COUNCIL

1. Introduction

- 1.1 The service areas of Adult Services, Children and Young People Services and Business Management and Innovation combine to form the **Social Services Directorate**. The Directorate has a wide range of statutory duties and responsibilities. Its primary role is to protect, support and meet the social care needs of vulnerable adults and children, helping them to achieve the best quality of life possible.
- 1.2 The **Adult Services** provides services for people with a learning disability, autism, mental health problems, frailty because of aging, a physical disability or sensory impairment and adults who need protection from abuse.
- 1.3 The **Children and Young People Service** provides help and support to children and young people that are in need, who are looked after by the Council, who have left care, who have additional needs and/or disabilities or who need to be protected.
- 1.4 The **Business Management and Innovation Service** provides support to the Directorate in the key areas of leadership and culture, financial stability and resources, planning and partnerships, commissioning and contracting, workforce development, performance management, and protecting vulnerable people services.

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:

Well-Being Outcome	An Inclusive and Safe Vale	An Environmentally Responsible and Prosperous Vale	An Aspirational and Culturally Vibrant Vale	An Active and Health Vale.
Well-Being Objective	Reducing poverty and social exclusion	Promoting regeneration, economic growth and employment.	Raising overall standards of achievement.	Encouraging and promoting active and healthy lifestyles.
Well-Being Objective	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 Goals 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

Adult Services 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
An Active and Healthy Vale	Safeguarding those who are vulnerable and promoting independent living.	AH7 – Implement new ways of working in light of the Social Services Well-being (Wales) Act with a particular focus on the priority work-streams of: provision of information; advice and assistance services; eligibility / assessment of need;

		<p>planning and promotion of preventative services; workforce; performance measures.</p> <p>AH8 – Improve access to health and social care services by improving the speed, simplicity and the choice of how to access services.</p> <p>AH9 – Work with partners to progress the integration of adult social care and community health services.</p> <p>AH12 – Minimise delays in transfer of care and discharge from hospital through improved co-ordination of services and the delivery of the Accommodations Solutions Service.</p> <p>AH13 – Review accommodation options for older people and develop our commissioning strategy for future years.</p> <p>AH15 – Improve procedures with providers of nursing, residential and domiciliary care providers to enable early intervention and prevent the escalation of incidents.</p>
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The **Children and Young People Services** 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
<p>An Active and Healthy Vale</p>	<p>Encouraging and promoting active and health lifestyles.</p> <p>Safeguarding those who are vulnerable and promoting independent living.</p>	<p>AH4 – Provide and promote a range of early years services including information and support for parents, access to childcare and learning opportunities to recognise the benefits of early development in achieving better outcomes for young people and their families.</p> <p>AH7 – Implement new ways of working in light of the Social Services Well-being (Wales) Act with a particular focus on the priority work-streams of: provision of information; advice</p>

		<p>and assistance services; eligibility / assessment of need; planning and promotion of preventative services; workforce; performance measures.</p> <p>AH10 – Explore options for single integrated ICT systems and integrated budgets across the Cardiff and Vale region for social care.</p>
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Business Management and Innovation 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
An Active and Health Vale	Safeguarding those who are vulnerable and promoting independent living.	<p>AH7 - Implementing new ways of working in light of the Social Services Well-Being (Wales) Act with a particular focus on the priority work streams of: provision of information, advice and assistance services; eligibility/assessment of need; planning and promotion of preventative services; workforce and performance measures.</p> <p>AH11 – Develop and implement a corporate policy on safeguarding to provide a clear strategic direction and lines of accountability across the Council.</p> <p>AH13 – Review accommodation with care options for older people and develop commissioning strategy for future years.</p> <p>AH14 – Work with partners through the Cardiff and Vale Local Safeguarding Children’s Board to develop a child sexual exploitation strategy.</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 **Adult Services** as the key risks over the coming year and how they plan to manage them.

Risk	Mitigating Controls
Service users cannot access the services swiftly and their needs are not met or increase.	Maintain or streamline appropriate additional routes in to the service. Increased monitoring of first contact performance. More integration of processes, services, systems with the Health Board as appropriate.
Insufficient operational staff capacity to ensure timely assessments are completed.	Ensure work is prioritised and review systems are in place. Effective screening of assessments for Adult Services is undertaken increasingly by the Contact Centre for both health and social care calls via an integrated assessment process. Staff are spending less time completing paperwork as a result of improved mobile working.
The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.	Through maintaining appropriate staffing levels and expertise, alongside prioritisation of work and effective reviews of services and efficiencies achieved by public services working together more closely.
Corporate Safeguarding procedures are insufficient, not followed or are ineffective.	We have put in place robust safeguarding mechanisms, processes and procedures that include the Safer Recruitment Policy, Referral of Safeguarding Concerns procedure, staff supervision policy, Provider Performance Protocol. We follow the All Wales Procedures and associated protocols that are embedded within Social Services. There is mandatory safeguarding training in place for relevant staff. We have developed a Corporate Safeguarding Group and have in place a regional Adult Safeguarding Board.
Unauthorised deprivation of liberty	The Deprivation of Liberty Action Plan will be implemented in full. The Council has trained 20 Best Interest Assessors whose role it is to undertake

	best interest assessments on behalf of the Council.
Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.	Liaison with relevant organisations and sharing of good practice, Effective leadership of Safeguarding Boards for children and adults.
Inability to implement requirements of the Social Services and Wellbeing (Wales) Act 2014	The reshaping services agenda will take into account the requirements of the Act. Continued liaison with Welsh Government through the consultation process for new Regulations and Codes of Practice, to demonstrate the resources implications and to ameliorate the potential impact. Production of an implementation plan to address any assessed shortfalls.
Transfer of Mental Health Services to Llandough Hospital – Financial impact of aftercare responsibilities under section 117 of the Mental Health Act.	We are currently seeking legal advice to assess the implications. There will be close liaison with the Health Board to identify the numbers of clients affected.
Integrated Health and Social Care	<p>Adult Services are becoming increasingly integrated with health services in or to provide users and patients with seamless care arrangements. This has the potential to disrupt existing staffing arrangements as new integrated structures and processes are developed. Financial scrutiny will be required to ensure that any risks associated with potential pooled funding are properly considered.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. Maintaining separate arrangements in these areas is likely to be unworkable as integration becomes stronger.</p> <p>The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&V UHB) but may service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services.</p>

The following have been highlighted by **Children and Young People Services** as the key risks over the coming year and how they plan to manage them.

Risk	Mitigating Controls
<p>Service users cannot access the services swiftly and their needs are not met.</p>	<p>Robust screening processes / assessments in place for children and young people administered via the Intake and Assessment Team.</p> <p>Maintain appropriate additional routes in the service. Increased monitoring of first contact performance measurement. More integration of processes, services, systems with the Health Board as appropriate.</p> <p>Effective management of service user expectations. Strict application of eligibility criteria. Reviewing and remodelling current service provision and develop opportunities for integration and collaboration. Improve support available to carers within the community to enable them to take on further responsibilities.</p>
<p>Capacity and capability to meet the needs of our most vulnerable clients at a time when resources are reducing.</p>	<p>Through maintaining appropriate staffing levels and expertise, alongside prioritisation of work and effective reviews of service.</p> <p>We have put in place robust safeguarding mechanisms, processes and procedures that include the Safer Recruitment Policy, Referral of Safeguarding Concerns procedure, staff supervision policy, Provider Performance Protocol. We follow the All Wales Procedures and associated protocols that are embedded within Social Services. There is mandatory safeguarding training in place for relevant staff. We have developed a Corporate Safeguarding Group and have in place a regional Local Safeguarding Children's Board. Liaison with relevant organisations and sharing of good practice. Effective leadership of Safeguarding Boards for children.</p>

<p>Insufficient operational staff capacity to ensure timely assessments are completed.</p>	<p>Ensure work is prioritised and review systems are in place. For Children and Young People Services all contacts are received by the Intake and Assessment Team. A dedicated duty function is in place. Staff are spending less time completing paperwork as a result of improved mobile working.</p>
<p>Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p>	<p>Liaison with relevant organisations and sharing of good practice, Effective leadership of Safeguarding Boards for children.</p>
<p>Continued reduction and regionalisation of grant funding.</p>	<p>Risk highlighted corporately as a cost pressure. Exit strategies are in place. We have a good track record in making effective use of grant funding and a robust approach to ensuring that the Vale receives a proper allocation of resources available.</p>
<p>Inability to implement requirements of the Social Services and Wellbeing (Wales) Act 2014</p>	<p>The reshaping services agenda will take into account the requirements of the Act.</p> <p>Continued liaison with Welsh Government through the consultation process for new Regulations and Codes of Practice, to demonstrate the resources implications and to ameliorate the potential impact. Production of an implementation plan to address any assessed shortfalls.</p>

The following have been highlighted by **Business Management and Innovation** as the key risks over the coming year and how they plan to manage them.

Risk	Mitigating Controls
<p>Service users cannot access the services swiftly and their needs are not met or increase.</p>	<p>Maintain or streamline appropriate additional routes in to the service. Increased monitoring of first contact performance. More integration of processes, services, systems with the Health Board as appropriate.</p>
<p>Insufficient operational staff capacity to</p>	<p>Ensure work is prioritised and review systems are in place. For Children</p>

ensure timely assessments are completed.	and Young People Services all contracts are received by the Intake and Assessment Team. A dedicated duty function is in place. Effective screening of assessments for Adult Services is undertaken increasingly by the Contact Centre for both health and social care calls via an integrated assessment process. Staff are spending less time completing paperwork as a result of improved mobile working.
The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.	Through maintaining appropriate staffing levels and expertise, alongside prioritisation of work and effective reviews of services and efficiencies achieved by public services working together more closely.
Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.	We have put in place robust safeguarding mechanisms, processes and procedures that include the Safer Recruitment Policy, Referral of Safeguarding Concerns procedure, staff supervision policy, Provider Performance Protocol. We follow the All Wales Procedures and associated protocols that are embedded within Social Services. There is mandatory safeguarding training in place for relevant staff. We have developed a Corporate Safeguarding Group and have in place a regional Local Safeguarding Children's Board and Adult Safeguarding Board.
Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.	Liaison with relevant organisations and sharing of good practice. Effective leadership of Safeguarding Boards for children and adults.
Insufficient funds to meet rising demand for services.	Expenditure is closely managed through the budget programme board. We are generating better and more timely monitoring information and forecasting. Service delivery models are being reshaped.
Reduction in service availability because of increasing demand, higher expectations and changes to eligibility criteria.	Effective management of service user expectations. Strict application of eligibility criteria. Reviewing and remodelling current service provision in favour of wellbeing, preventative support wherever possible and developing opportunities for integration and collaboration. Improve support available to carers within the community to enable them to take on further

	responsibilities.
Inability to implement requirements of the Social Services and Wellbeing (Wales) Act 2014	The reshaping services agenda will take into account the requirements of the Act. Continued liaison with Welsh Government through the consultation process for new Regulations and Codes of Practice, to demonstrate the resources implications and to ameliorate the potential impact. Production of an implementation plan to address any assessed shortfalls.
Closure / failure of our commissioned providers.	Provide support to promote Social Enterprises and co-operative. Independent sector providers will have access to additional support and advice. Close monitoring of commissioned services is undertaken via effective quality assurance. The Provider Performance Protocol sets out performance standards / expectations and enables us to deal with any poor performance issues in a timely manner. The Quality Assurance Group is responsible for monitoring and identifying any areas of concern/issues among providers as they emerge.

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 **Social 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 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 Social Services Directorate 2016-17

SOCIAL SERVICES DIRECTORATE

Area	Identified Risk	Audit Scope	Total Days
Social Services and Wellbeing Act	H	To ensure compliance with the Act.	40
<i>Mental Health</i>	H	To review the procedures and processes in place to ensure compliance with the guidance.	15
DOLS	H	Under the DOLS, local authorities have set timescales for completing a request for a “Standard Authorisation” from a care home or hospital. Standard authorisations are used to authorise care arrangements that deprive an individual of their liberty. The Audit will examine the arrangements that the Council has established to ensure compliance with the new Mental Capacity Act.	20
Adoption	H	To provide assurance to the governance board on the adequacy and effectiveness of the overall control environment including Governance, Risk Management and Internal Control.	20
Data	H	To provide assurance on the procedures and processes in place for handling data ensuring its accuracy and integrity.	20
		Total for Social Services Directorate	115