

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 INTERNAL AUDIT RISK BASED PLAN**

**2018 – 2019**

**VALE OF GLAMORGAN COUNCIL**

## 1. Introduction

Across the whole of the United Kingdom, local councils are facing unprecedented challenges following reduced Government funding and increased demands on essential services. In respect of the Vale of Glamorgan Council, its commitments are to make sure the Council provides the best services that it can to the residents of the Vale of Glamorgan. Members and Officers will work together utilising the resources that are available to the Council to provide quality services for Vale residents. One of the Council's overarching principles is to manage public money and assets well

The Council's vision for the future of the Vale of Glamorgan is:

**'Strong communities with a bright future'**

In developing the Council's Corporate Plan 2016 – 2020, consideration has been given to the values that are needed to underpin the work of elected members and staff. The Council's values describe the professional behaviours that will contribute to the Council's ability to adapt to future demand and deliver the actions contained in the Corporate Plan, as well achieve the vision of strong communities with a bright future.

The Council's values are:

**Ambitious** – Forward thinking, embracing new ways of working and investing in our future.

**Open** – Open to different ideas and being accountable for the decisions we take.

**Together** – Working together as a team that engages with our customers and partners, respects diversity and is committed to quality services.

**Proud** – Proud of the Vale of Glamorgan: proud to serve our communities and to be part of the Vale of Glamorgan Council.

The Council's well-being outcomes and well-being objectives provide a strong foundation and framework for the Corporate Plan. The well-being outcomes are:-

- **An Inclusive and Safe Vale;**
- **An Environmentally Responsible and Prosperous Vale;**
- **An Aspirational and Culturally Vibrant Vale;**
- **An Active and Healthy Vale.**

The Delivery of these outcomes will be supported by a review of some of the Council's core activities to enhance the Council's approach to integrated planning.

## **2. Promoting Well-being**

The Council welcomes its duties under the Well-being of Future Generations (Wales) Act 2015. The aim of the Act is to improve the social, economic, environmental and cultural well-being of Wales. The Act is intended to make public bodies think more about the long-term, work better with people and communities and each other, look to prevent problems and take a more joined up approach. To make sure relevant bodies are all working towards the same vision, the Act puts in place seven well-being goals.

- A prosperous Wales,
- A resilient Wales,
- A healthier Wales,
- A more equal Wales,
- A Wales of cohesive communities,
- A Wales of vibrant culture and thriving Welsh Language,
- A globally responsible Wales.

**3. Delivering the Council’s Vision.**

The Council has agreed an ambitious programme for the next four years to achieve the well-being outcomes and meet the objectives. In delivering this exciting programme with partners, the Council is confident that they can reshape services to deliver the vision for the Vale. The four well-being outcomes provide the framework for the programme of activity.

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

**4. Well-being Actions**

<b>Well-being Objective</b>	<b>Actions</b>
<b>An Inclusive and Safe Vale:</b> Citizens of the Vale of Glamorgan have a good quality of life and feel part of the local community.	
Reducing poverty and social exclusion	Develop and deliver a Digital Inclusion Strategy to increase access to digital technology and improve digital

	<p>skills.</p> <p>Work with partners to deliver the Financial Inclusion Strategy and enable residents in and out of work to overcome barriers to financial inclusion by improving access to services, advice and support.</p> <p>Provide information and support to residents affected by Welfare Reform and raise awareness of staff and partners about the impact of the changes.</p> <p>Work through the Creative Rural Communities partnership to involve the local community in the delivery of services with the aim of reducing rural poverty.</p> <p>Implement a range of projects to prevent and tackle poverty through the Vibrant and Viable Places Scheme in Barry.</p> <p>Align relevant activities associated with Families First, Flying Start, Communities First and Supporting People programmes to maximise opportunities across all programmes.</p>
<p>Providing decent homes and safe communities.</p>	<p>Complete the delivery of the Council House Improvement Programme by 2017.</p> <p>Work with partners to instigate a new council house building programme.</p> <p>Provide appropriate accommodation and support services for particular vulnerable groups.</p> <p>Implement a range of initiatives to facilitate new and to improve the quality of private sector rented accommodation.</p> <p>Increase the number of sustainable, affordable homes.</p> <p>Introduce a rapid response system to protect vulnerable people from the activities of rogue traders.</p> <p>Work with the Police and Crime Commissioner to pilot a new approach to supporting victims of domestic violence.</p> <p>Prevent and tackle incidents of anti-social behaviour including implementing restorative justice approaches for young people.</p> <p>Complete the Castleland Area Renewal Scheme to improve the standard of housing and the local environment.</p> <p>Work with partners to implement a new Community Safety Strategy.</p>

<p><b>An Environmentally Responsible and Prosperous Vale:</b> The Vale of Glamorgan has a strong and sustainable economy and the local environment is safeguarded for present and future generations.</p>	
<p>Promoting regeneration, economic growth and employment.</p>	<p>Maximise economic growth, inward investment and employment opportunities through, the Capital City Region and Cardiff Airport and St Athan Enterprise Zone.</p> <p>Develop opportunities for employment and training through new developments, regeneration schemes and the management of the Council’s assets.</p> <p>Implement a comprehensive programme of regeneration across the Vale including: The Rural Local Development Strategy, Town Centres Framework, Penarth Esplanade, Barry Waterfront including the Barry Island Link Road and Links between Penarth Haven and the Town Centre.</p> <p>Deliver transport improvement schemes associated with the Cardiff Capital Region Metro including bus prioritisation measures at Port Road and Cardiff Road.</p> <p>Implement Integrated Network and Active Travel Maps to provide residents and visitors with a comprehensive information resource to travel efficiently and safely.</p> <p>Support local businesses and increase the number of visitors to the Vale through the implementation of the Tourist Destination Management Plan and an annual programme of events and festivals.</p>
<p>Promoting sustainable development and protecting our environment.</p>	<p>Adopt and implement the Local Development Plan as a framework for sustainable development in the Vale of Glamorgan.</p> <p>Subject to National and Welsh Government reviewing advice with regard to the Community Infrastructure Levy, consider the best way to use developer contributions to improve infrastructure and community facilities.</p> <p>Implement a Local Transport Plan to improve accessibility, road safety, air quality and reduce congestion</p> <p>Work with Welsh Government to deliver improvements to Five Mile Lane.</p> <p>Improve accessibility to public transport for 16 to 18 year olds and 60 plus by promoting and increasing take up of Welsh Government Concessionary Travel Schemes.</p> <p>Complete the National Cycling Network Route 88 to promote active travel and reduce unnecessary vehicle travel, road congestion and pollution.</p> <p>Deliver a co-ordinated approach to managing the Barry Island resort.</p> <p>Work with partners to continue the regeneration of Barry Island and promote the development of land at Nells Point for tourism and leisure purposes.</p> <p>Review and implement the Council’s Carbon Management Plan and targets to reduce emissions from</p>

	<p>street lighting, council vehicles and council buildings.                  Develop and implement a Waste Reduction Strategy and remodel our waste management infrastructure to increase participation in recycling, reduce the growth of municipal waste and meet national targets.                  Implement the Local Biodiversity Action Plan and enhance and protect habitats for important species through the Natural Environment and Communities Act and the land use planning system.                  Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan.                  Achieve four National Beach Awards in recognition of the high standard of cleanliness, good facilities and attractiveness of our beaches.</p>
<p><b>An Aspirational and Culturally Vibrant Vale:</b> All Vale of Glamorgan citizens have opportunities to achieve their full potential.</p>	
<p>Raising overall standards of achievement.</p>	<p>Improve standards of achievement for pupils through sharing excellence between schools and the targeting of resources.                  Secure improved outcomes for groups of learners at risk of underachievement, such as those entitled to free school meals.                  Increase the learning opportunities for disadvantaged individuals and vulnerable families.                  Reduce the number of young people not in education, employment or training.                  Improve outcomes for post 16 learners through greater cooperation between schools, training providers and businesses.                  Implement the Youth Service National Outcomes Framework to ensure young people (11-25) can access quality youth support services.                  Secure aspirational outcomes for learners with additional learning needs through early intervention and effective collaboration in line with the proposed Additional Learning Needs Bill.                  Progress the school modernisation programme by completing the new Llantwit Major Learning Community and the development of proposals for secondary school provision in Barry.                  Develop a new school modernisation programme in readiness for the next 21<sup>st</sup> century schools funding due to commence in 2019/20.</p>
<p>Valuing culture and diversity.</p>	<p>Improve our knowledge of the diverse needs of the community, so that groups of people protected under the Equality Act 2010 can better access Council services.                  Work with partners to promote the use of the Welsh language.                  Implement the Welsh Language Standards to improve access to services and information.                  Work with community partners to deliver a vibrant and diverse library service.</p>

	<p>Establish an Education and Arts Hub within the Central Library in Barry.                  Review and implement the Vale Arts Strategy with an increased focus on marketing and regional working.                  Protect, preserve and where possible enhance the built, natural and cultural heritage of the Vale of Glamorgan.</p>
<p><b>An Active and Health Vale:</b> Residents of the Vale of Glamorgan lead healthy lives and vulnerable people are protected and supported.</p>	
<p>Encouraging and promoting active and healthy lifestyles.</p>	<p>Work in partnership to deliver a range of activities through our leisure and community facilities and parks to increase levels of participation and physical activity.                  Work with partners to deliver the Cardiff and Vale Substance Misuse Commissioning Strategy 2013-2018, providing support, information and effective interventions.                  Work in partnership to deliver a comprehensive play programme that improves the well-being of children and their families.                  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.                  Work with the Cardiff and Vale Health and Well-Being Board to undertake a range of actions to prevent and tackle obesity and encourage healthy eating and healthier lifestyles.                  Achieve Green Flag status for 7 parks as a mark of excellence, demonstrating good amenities and community involvement in the parks.</p>
<p>Safeguarding those who are vulnerable and promoting independent living.</p>	<p>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; planning and promotion of preventative services; workforce and performance measures.                  Improve access to health and social care services by improving the speed, simplicity and choice of how to access services.                  Work with partners to progress the integration of adult social care and community health services.                  Explore options for single integrated ICT systems and integrated budgets across the Cardiff and Vale region for social care.                  Develop and implement a corporate policy on safeguarding to provide a clear strategic direction and lines of accountability across the Council.                  Minimise delays in transfers of care and discharge from hospital through improved co-ordination of services and the delivery of the Accommodations Solutions Service.                  Review accommodation with care options for older people and develop our commissioning strategy for future</p>



	<p>years.</p> <p>Work with partners through the Cardiff and Vale Local Safeguarding Children’s Board to develop a Child Sexual Exploitation Strategy.</p> <p>Improve procedures with providers of nursing, residential and domiciliary care providers to enable early intervention and prevent the escalation of incidents.</p> <p>Undertake an annual programme of targeted inspections at premises undertaking commercial activities that affect vulnerable people (for example, care homes and food establishments in schools).</p> <p>.</p>
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### 5. 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 main risks facing the Council, the likely impact of these on Council services and the wider County are listed below.

Risk	Risk Description	Risk Overview
<b>CR1. Reshaping Services</b>	<b>Failure to deliver the Reshaping Services Programme</b>	<p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand challenges, thereby resulting in further cuts to services significantly impacting their availability and quality.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p>
<b>CR2. Response to legislative change and local government reform</b>	<b>Failure to respond to legislative changes and to proposals for local government reform</b>	<p>This risk focuses on how we respond to new and emerging legislative requirements particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions that it effects. This applies to key pieces of legislation such as the Social Services and Well-being</p>

		<p>Act, the Well-being of Future Generations Act, the emerging local government reform agenda. The Well-being of Future Generations Act also came into force in April 2016. The primary aim of the Act is to ensure public bodies improve the economic, social, environmental and cultural well-being of Wales in accordance with the sustainable development principle. Following our experience as an early adopter, we have introduced a new Corporate Plan 2016-2020. The new Corporate Plan has been designed around a set of four well-being outcomes and eight well-being objectives which will ensure consistency, across all Directorates, with the seven Well-being goals specified by the Act. The risk can be defined as the failure to meet requirements of the Act and embed the sustainable development principles and therefore fail to contribute towards meeting the Wellbeing Goals (and the associated five ways of working) into all aspects of our service delivery.</p> <p>The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on:</p> <p><b>Voice and Control</b> – putting the individual and their needs at the centre of their care and giving them a voice and control to define their outcomes and achieve wellbeing.</p> <p><b>Prevention and early intervention</b> – increasing preventative services within communities to reduce the need for more intensive intervention.</p> <p><b>Wellbeing</b> – is about supporting people to identify outcomes and supporting them to achieve their own wellbeing.</p> <p><b>Co-production</b> – involves encouraging people to become involved in the design and delivery of services with a focus on alternative delivery models and using social enterprises, co-operatives, user-led services and the voluntary sector.</p> <p>This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of the Act by failing to improve the wellbeing of people and their carers who need care and support as well as the failure to effectively transform service delivery across social services in line with the Act.</p> <p>There continues to be a risk in relation to the proposed new Local Government Bill in terms of reforming Local Government. The focus has now moved away from enforced mergers of Councils. Following a Welsh Government statement on 17<sup>th</sup> July 2017, the emphasis is now on mandatory regional working between the 22 Councils on areas around economic development, strategic land use planning and strategic transport. It will focus on three larger regions; North Wales, Central and South West Wales and South East Wales with scope for sub-regional working. There will also be a focus on further regional working across other services such as education, social services etc. The key risk associated with this proposed new Bill is the effectiveness of regional working arrangements and their ability to deliver localised services that best meet the needs of</p>
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<p><b>CR3. School Reorganisation and Investment</b></p>	<p><b>Failure to implement an appropriate school re-organisation programme.</b></p>	<p>communities.</p> <p>This risk encompasses funding key priorities set out in the 21st Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21st Century Schools grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability</p> <p>Failure to implement an appropriate school re-organisation programme could result in the Vale not achieving its surplus place targets of 10.19% in the primary sector and 12.9% in the secondary sector by 2016 as agreed with the Minister for Education and Skills. Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale's ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council's Welsh in Education Strategic Plan, and could directly impact on the Vale's ability to secure 21<sup>st</sup> century schools funding in the future.</p>
<p><b>CR4. Housing Improvement Programme</b></p>	<p><b>Failure to meet Welsh Housing Quality Standards (WHQS)</b></p>	<p>The Welsh Housing Quality Standard requires all social landlords to improve their housing stock to an acceptable level by 2020, as outlined in the Wales Housing Act 2014.</p> <p>The focus is on ensuring that all people have the opportunity to live in a good quality home in a safe and secure community. To help achieve this, the Welsh Government has published the Welsh Housing Quality Standard (WHQS) for us to abide by.</p> <p>The Council commenced its Housing Improvement Programme to meet WHQS in September 2012 and has agreed with the Welsh Government that compliance will be achieved by December 2017 (4½ year programme). External contractors were appointed at that time to deliver the programme via a framework contract. The Council's internal contractor will also deliver a proportion of the works. The majority of internal works have all been completed and we are now concentrating on external works and communal areas. We are also focusing on outstanding properties where work is required that was not previously undertaken.</p> <p>In the first 5 years (2017-21), the Council will allocate approximately £23million towards regeneration and new build with 14 new build homes due to be built in this financial year. A further £177 million is associated for years 6-30 as identified within the Housing Business Plan. The overarching risk is failure to meet the requirements of the Housing Act and achieve WHQS</p>

		<p>standards within the agreed timescales. The primary consequence of this could result in the withdrawal of Welsh Government funds, but there are also political, legislative and reputational consequences for the Council.</p> <p>Delays in completing Wales Housing Quality Scheme works could be the result of:                  Having a number of “Hard to Treat” properties across the Vale that require over and above the normal refurbishment requirements leading to additional expenditure;                  Poor performance and contractual compliance by our external contractors impacting on the quality of work undertaken or the availability of suitably experienced contracting staff to undertake aspects of the improvement work needed.                  Shortages in the supply/availability of building work materials resulting in delays to delivery of the housing improvement programme;                  On site ecology issues affecting start and finish dates for work and;                  Tenants refusing the works/access to their properties.                  Insufficient budget available in year to pay for work on additional properties identified as requiring work which could impact on priorities in future years.</p>
<b>CR5. Waste</b>	<b>Failure to meet the national waste agenda and targets.</b>	<p>This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government’s ‘Towards Zero Waste’ Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council’s reputation.</p>
<b>CR6. Workforce needs</b>	<b>Inability to anticipate and plan for the workforce needs of the future in order to meet changing services requirements</b>	<p>As the Council goes through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. The risk needs to be considered alongside the Council’s reshaping services agenda and in the context of the local government reform agenda. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.</p>

<p><b>CR7. Information security</b></p>	<p><b>The failure to implement adequate information security management systems across the Council</b></p>	<p>Information Security involves the practise of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.</p> <p>Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network, Payment Card Industry and ISO27001 that governs information security management.</p> <p>The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. Despite the Brexit decision, the UK Government confirmed its intent to still adopt this as a legislative framework. This new regulation will apply in the UK from May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.</p> <p>The key risk associated with this is the failure to implement adequate information security management systems across the Council.</p>
<p><b>CR8. Environmental Sustainability</b></p>	<p><b>Failure to adapt to the impact of climate change and failure to mitigate climate change in the Vale of Glamorgan.</b></p>	<p>Action on climate change covers two areas: mitigation and adaptation.</p> <p>Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority.</p> <p>The Vale of Glamorgan must act as a responsible authority and in 2006 signed the “Welsh Commitment to Address Climate Change”. The commitment outlines the council’s contribution to the delivery of the national climate change programme, working with the local community to address the causes and effects of climate change, reduce the council’s own emissions, encourage all sectors of the local community to reduce their own emissions, work with key providers to adapt</p>

		to changes, and provide opportunities for renewable energy generation within the area. The key risk relates to our failure to mitigate against the impact of climate change.
<b>CR9. Welfare reform</b>	<b>Welfare Reform</b>	<p>The UK Government’s Welfare Reform will introduce the greatest change in the administration of welfare benefits for a generation. In addition to significant change in the way in which the council will run the housing and council tax benefits service, the changes will affect Social Services and Housing Services and will have an impact on the overall finances of the authority.</p> <p>Significant changes have been implemented, including changes to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.</p> <p>Universal Credit which will replace Housing Benefit, Job Seeker’s Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was introduced in the Vale of Glamorgan in February 2016. However, this was originally limited to new claimants within specific geographical areas in the UK. Full roll out of the Universal Credit programme and its full impact has not yet been full realised in the Vale of Glamorgan.</p> <p>Universal Support Delivered Locally has been implemented since February 2016 in line with the introduction of Universal Credit in the Vale of Glamorgan. The risk associated with Welfare Reform can be defined as the roll out of the Welfare Reform programme has a detrimental financial and social impact on residents.</p>
<b>CR10. Local Development Plan</b>	<b>Local Development Plan – failure to meet our statutory obligations</b>	<p>The preparation of a Local Development Plan for the Vale of Glamorgan is statutory.</p> <p>On January 23rd 2013 the Council decided to not progress the Deposit Local Development Plan approved in December 2012 but instead to prepare a replacement Deposit Local Development Plan which was approved by Council for consultation purposes in October 2013.</p> <p>The Council received the Inspector’s binding report of the Examination of the Vale of Glamorgan’s LDP 2011-2026 in May 2017. Full Council endorsed the Adoption Statement and final Sustainability Appraisal and approved the adoption of the LDP on 28th June 2017.</p> <p>Following adoption we will be required to produce and submit an Annual Monitoring Report on the LDP to Welsh Government by the 31st October 2018. The purpose of the monitoring report is to assess the extent to which the LDP strategies, policies and the key sites identified in it are being delivered (i.e. whether the plan is being implemented as intended).</p> <p>Therefore, the residual risk is that the Annual Monitoring Report shows that we are not delivering the requirements of the LDP for example to meet identified housing need. This could trigger a policy review and/or a full plan review which could bring into question whether the LDP is ‘meeting</p>

		its objectives.
<b>CR11. Safeguarding</b>	<b>That our Corporate Safeguarding procedures are insufficient, not being followed and/or are ineffective.</b>	<p>The Council has produced Corporate Safeguarding procedures including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council also has a responsibility to comply with the All-Wales Child Protection procedures and the All Wales Protection of Vulnerable Adults Procedures and their associated protocols.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if complicity with these policies is not fully mainstreamed across the council. Therefore, the overarching risk is that corporate safeguarding procedures are insufficient, not followed or are ineffective.</p>
<b>CR12. Integrated Health and Social Care</b>	<b>Integrated Health and Social Care</b>	<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration.</p> <p>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 mandated 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&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU.</p> <p>Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services.</p>
<b>CR13. Deprivation</b>	<b>Deprivation of Liberty</b>	<b>Deprivation of Liberty Safeguards</b>

<p><b>of Liberty</b></p>		<p>The Deprivation of Liberty Safeguards (DoLS) (2009) introduced a legal mechanism to protect people who do not have the mental capacity to consent to their care and support in registered care homes and hospital wards. Specifically, the DoLS safeguards aim to prevent breaches of Article 5 of European Convention of Human Rights – <i>The Right to Liberty and Security</i>. They acknowledge that care and support arrangements sometimes are required to deprive a person of their liberty to ensure the person’s best interests and safety, but that any deprivation of liberty must be in accordance with a prescribed legal procedure (Art 5(1)) and shall entitle the deprived person to take legal proceedings to determine lawfulness of the deprivation ((Art 5 (4)).</p> <p>The Safeguards place a duty on the local authority to perform to a prescribed legal procedure when informed by a Care Home (described as Managing Authorities under the Safeguards) that a resident may be being deprived of their liberty in the care home. The local authority (known in the Safeguards as the Supervisory Body) has 7 days for Urgent Authorisation requests and 21 days for Standard Authorisation requests to coordinate a suite of 8 assessments to determine if the care arrangement is in the persons best interest and to legally ‘Authorise’ the deprivation of liberty.</p> <p>In March 2014, the Supreme Court (P v Cheshire West and Chester Council and P &amp; Q v Surrey County Council) made a ruling, effectively setting a new and much lower threshold for determining a deprivation of liberty which has led to a substantial increase in the number of requests for DoLS Authorisations. In the Vale of Glamorgan, this has meant an increase from 6 requests in 2013/14 to an average of over 500 in each of the last three years.</p> <p>Adult Services have invested into the DoLS team to go some way to meet this increased demand, but the team is not able to coordinate DoLS assessments and Authorisation within the statutory timescales which places the local authority at risk of legal challenge in the Court of Protection.</p> <p><b>Deprivation of Liberty in ‘Domestic Settings’</b></p> <p>The Cheshire West Supreme Court ruling in March 2014 made it clear that the local authority must seek Authorisation from the Court of Protection whenever it knows or ought to know that a person who does not have mental capacity to consent is living with care and support that deprives them of their liberty within their own home. It is difficult to be certain but current estimates would indicate that between 50 and 100 people living in the Vale of Glamorgan potentially fall into this category which includes people with learning disabilities or mental health problems and older people with mental health problems.</p> <p>Without Court of Protection Authorisation, the local authority is at risk of legal challenge for care and support that potentially breaches a person Article 5 right to liberty and security.</p>
<p><b>CR14. Contract Management</b></p>	<p><b>Contract Management</b></p>	<p>Work undertaken by Internal Audit service during 2016 highlighted significant shortcomings in the way in which large scale services were procured. The issues highlighted:</p> <ul style="list-style-type: none"> <li>• Poor planning with regard to the completion of tendering processes so that a full procurement exercise could not be completed before an existing contract came to an end.</li> </ul>



		<ul style="list-style-type: none"> <li>• Services starting without final contracts having being agreed and signed by the Council and the supplying organisation.</li> </ul> <p>The audit work highlighted that these shortcomings were evident in a number of instances and across different service areas. The shortcomings exposed the Council to the following risk:</p> <ul style="list-style-type: none"> <li>• Break in crucial services if the current supplier was unable to continue to provide a service whilst a tendering process was completed;</li> <li>• Additional cost as current suppliers increased their costs during the interim period;</li> <li>• Risk of legal challenge if any issues arose when services were provided when there was no formal contract in place; and</li> <li>• Reduced ability to address poor performance if no formal contract in place.</li> </ul>
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**6. The Risk Assessment Process**

6.1 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 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 Risk Based Plan 2018-19**

**7.1 HIGH RISK - PRIORITY ONE**

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
<b>Carry Forward from 2017/18</b>	Cross Cutting	Assurance	Provision for those assignments which are still ongoing at the end of 2017/18.	<b>20</b>				<b>20</b>
<b>2017/18 closure of reports</b>	Cross Cutting	Assurance	To finalise all draft reports outstanding at the end of 2017/18.	<b>10</b>				<b>10</b>
<b>Annual Governance Statement 2017-18</b>	Cross Cutting	Governance	The completion of the Council's Annual Governance Statement, submission to the Insight Board and Audit Committee and included with the Draft Statement of Accounts 2017/18 (including the Governance Assurance Statements from Corporate Officers and Senior Management. Deadline date June 2018.	<b>15</b>				<b>25</b>
<b>Annual Governance Statement 2018/19</b>			To make preparations for the production of the AGS for 2018/19				<b>10</b>	
<b>Follow up of Recommendations for 2017/18.</b>	Cross Cutting	Assurance	To ensure that all recommendations made in 2017/18 have been actioned.	<b>15</b>				<b>45</b>
<b>Recommendation Monitoring</b>			Monitoring the implementation of Internal Audit recommendations in consultation with the service areas which have received these recommendations. During the year, Internal Audit will review the process to ensure recommendations are followed up and reported upon to Audit Committee in a timely, efficient and effective manner.		<b>10</b>	<b>10</b>	<b>10</b>	

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
Annual Opinion Report 2017-18	Cross Cutting	Governance	To prepare and issue the Head of Audit's Annual Opinion Report 2017/18. Deadline 1 <sup>st</sup> May 2018.	10				25
Annual Opinion Report 2018-19			Preparation for the production of the 2018-19 Annual Opinion Report				15	
Audit Planning – 2018 -19	Cross Cutting	Assurance / Governance / Risk	To prepare and present the annual risk based audit plan for 2018/19. Deadline 1 <sup>st</sup> May 2018	20				40
Audit Planning 2019 - 20			To prepare and present the annual risk based audit plan for 2018/19. Deadline 1 <sup>st</sup> May 2018				20	
Exemptions to Contract / Finance Procedure Rules	Cross Cutting	Assurance / Governance / Risk	To challenge the use of exemptions to both Contract and Finance Procedure Rules via the waiver procedure. Challenge provided throughout the year.	5	5	5	5	20
Adoption Service	Social Services	Assurance / Governance / Risk	To provide assurance to the governance board on the adequacy and effectiveness of the overall control environment including Governance, Risk Management and Internal Control for 2017/18 with testing focusing on Permanency and Placement.  Preparation work for the production of the assurance report for 2018/19	10				25
							15	
SRS Joint Service	Environment & Housing		Assurance Testing – To provide assurance to the Shared Regulatory Service Board on the systems and processes in place in respect of the overall control environment including governance, risk management and internal control for the 2017-18 Financial Year.	10				15

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			Preparatory work for the production of the assurance work for 2018/19				5	
<b>Compliance – expenses / mileage claims</b>	Cross Cutting		Review of expenses / mileage claims submitted which are over three months old. Ongoing throughout the year.	5	5	5	5	20
<b>Compliance with PSIAS</b>	Cross Cutting	Assurance / Governance / Risk	Review compliance with the Public Sector Internal Audit Standards.	5		5		10
<b>Safeguarding</b>	Cross Cutting	Assurance / Governance / Risk	Case management of safeguarding incidents are dealt with in accordance with the Council's safeguarding policies and procedures. This review will also include an annual assessment of the Council's overall operating model for safeguarding; including reviewing the adequacy of assurances obtained by the Council in respect of safeguarding arrangements in place for vulnerable adults and children for 2017/18. Preparatory work for the 2018/19 review	10			10	20
<b>CRSA</b>	Learning & Skills	Assurance	To undertake the annual controlled risk self – assessment for schools. The aim of the process is to enable Head Teachers to review their internal controls and to ensure that they undertake and comply with the requirements of current legislation and the Financial Procedure Rules. The objectives of the Control Risk Self-Assessment (CRSA) Questionnaire are to provide a tool for the Internal Audit Section to evaluate the financial and other related controls in operation, help to provide a basis	10		10		20

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			upon which the scope and frequency of audits can be determined and allow Head Teachers to self-assess themselves against potential risks. CRSA is a widely used technique in the both the public and private sectors.					
<b>Audit Committee / Member and CMT Reporting</b>	Cross Cutting	Governance / Assurance / Risk	This allocation covers Member reporting procedures, mainly to the Audit Committee, plan formulation and monitoring, and regular reporting to, and meeting with, the Section 151 Officer, Corporate Management Team and the Internal Audit Shared Service Board.	<b>15</b>	<b>10</b>	<b>10</b>	<b>10</b>	<b>45</b>
<b>Advice &amp; Guidance Provision of Internal Control / General Advice</b>	Cross Cutting	Assurance	To allow auditors to facilitate the provision of risk and control advice which is regularly requested by officers within the authority, including maintained school based staff.	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>20</b>
<b>Grant Certification Work</b>	Cross Cutting	Assurance	Under the conditions of the specific grant determination, the Head of Audit must certify that the conditions of the grant have been complied with.	<b>10</b>	<b>10</b>			<b>20</b>
<b>Financial Systems</b>	MD & Resources	Assurance	To provide assurances that the financial systems in operation are efficient and effective and that the internal control environment is robust.		<b>25</b>	<b>25</b>	<b>25</b>	<b>75</b>
<b>Management of Trees</b>	Environment & Housing	Assurance	To follow up on the recommendations made during 2017/18 to ensure that the management have addressed the weaknesses identified in the overall control environment.			<b>10</b>		<b>10</b>
<b>Landlord Compliance</b>	Environment & Housing	Assurance	To follow up on the recommendations made during 2017/18 to ensure that the management have addressed the weaknesses identified in		<b>15</b>			<b>15</b>

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			the overall control environment.					
<b>Additional Learning Needs Bill</b>	Learning & Skills	Assurance	Deferred from 2017/18 – To review the adequacy and effectiveness of early interventions in line with the proposed Additional Learning Needs Bill and to examine the effectiveness of collaboration.		<b>10</b>			<b>10</b>
<b>Registration Services</b>	MD & Resources	Assurance	Deferred from 2017/18 - To provide the necessary assurance that the procedure and processes are efficient and effective.			<b>10</b>		<b>10</b>
<b>Contract &amp; Commissioning – Brokerage etc.</b>	Social Services	Governance / Assurance / Risk	To provide assurance that the contract and commissioning processes and procedures in place within the services areas as listed below are operating effectively. Adult Commissioning Care Team; ACCT/UAP; Residency orders.		<b>10</b>	<b>30</b>	<b>20</b>	<b>60</b>
<b>Procurement</b>	MD & Resources	Assurance	This audit will review the procurement framework and a sample of individual procurement activities across the Council in order to evaluate the level of compliance with legislation and the Council's Constitution.	<b>15</b>				<b>15</b>
<b>Housing</b>	Environment & Housing	Governance	Deferred from 2017/18 – This review will examine a number of collaboration and partnership arrangements within Housing to ensure that a robust governance framework is clearly evident.		<b>10</b>			<b>10</b>
<b>Building Services</b>	Environment & Housing	Assurance	Deferred from 2017/18 – This review will examine the procedures and processes in place for mobile working to ensure compliance.		<b>15</b>			<b>15</b>
<b>Housing Renovation Grants</b>	MD & Resources	Assurance	To review the effectiveness of the procedures and processes in place for Renovation Grants			<b>15</b>		<b>15</b>

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			to ensure compliance with legislation and guidance.					15
<b>Direct Payments</b>	Social Services	Governance / Assurance / Risk	Review the effectiveness of the procedures and processes in place for Direct Payment to ensure compliance particularly in light of the increase in numbers as a result of the SS& WB Act.		15			15
<b>Reshaping Services</b>	Cross Cutting	Assurance / Governance	To gain assurance that high risk projects are being managed under the Reshaping Services Agenda are delivering the savings required.	15	15	15	15	60
<b>Emerging Risks / unplanned</b>	Cross Cutting	Contingency	To enable Audit Services to flexibly respond to provide assurance activity as required.	10	10	10	10	40
<b>External Audit Liaison</b>	Cross Cutting	Governance	To ensure that a “managed audit” approach is followed in relation to the provision of internal and external audit services.	5	5	5	5	20
<b>Fraud / Error / Irregularity</b>	Cross Cutting	Contingency	<b>Irregularity Investigations</b> - Reactive work where suspected irregularity has been detected.	15	10	10	10	65
		Fraud & Error	<b>Anti-Fraud &amp; Corruption</b> – Proactive - Proactive counter-fraud work that includes targeted testing of processes with inherent risk of fraud. Also to develop awareness sessions; e-learning; policies and procedures.			10	10	
			<b>National Fraud Initiative</b> - Collection of data and analysis of matches for the NFI exercise, acting as first point of contact and providing					

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			advice and guidance to key contact officers. Review of the Council's Anti-Fraud & Bribery Policy					
			<b>Sub Totals Priority One</b>	<b>235</b>	<b>185</b>	<b>190</b>	<b>205</b>	<b>815</b>
<b>HIGH RISK – PRIORITY TWO</b>								
Vale Art Strategy	Learning & Skills	Governance	Deferred from 2017/18 – Review the effectiveness of the Vale Art Strategy including overarching governance arrangements for any regional working.			<b>10</b>		<b>10</b>
Risk Management	Cross Cutting	Risk	Review of evidence to ensure that the council has a fully embedded risk management system in place that identifies and treats risks to key strategic and operational objectives.			<b>10</b>		<b>10</b>
Performance Management Framework	MD & Resources	Risk	To review the performance management arrangements paying particular attention to the accuracy of the performance information collected and reported.			<b>10</b>		<b>10</b>
Highways - Potholes	Environment & Housing	Assurance	To review the procedures and processes in operation within the Councils Highways Routine Maintenance – specifically potholes to determine if the previously identified areas of weakness have been fully rectified and that the control environment is robust.	<b>10</b>				<b>10</b>
PCI - DSS	MD & Resources	Assurance / Risk	To review the procedures and processes in operation relating to PCI - DSS to determine if the previously identified areas of weakness			<b>10</b>		



Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			have been fully rectified and that the control environment is robust.					10
Schools	Learning & Skills	Assurance	To undertake a number of school based reviews in accordance with Internal Audit's risk based schools assessment.	10	10	10	10	80
			To undertake cross-cutting projects to ensure compliance across all schools.	10	10	10	10	
Safer Recruitment	MD & Resources	Assurance	To provide assurances that safer recruitment is operating effectively across the Council.	10				10
Equalities	MD & Resources	Assurance	To review the Council's Strategic Equality Plan to provide assurance that it is fulfilling its duties in respect of the Equality Act 2010 (as amended from time to time) and specific duties in Wales.				10	10
Intake & Family support	Social Services	Assurance / governance	Compliance with legislation regarding Child Protection measures; Integrated - Family Support to prevent care intervention; Review referral, assessment and wellbeing outcome processes.		10	10		20
Business Continuity Planning	MD & Resources	Assurance / Risk	To evaluate the Council's Business Continuity Plan to provide assurances that it sets out how the Council will operate following an incident and how it expects to return to 'business as usual' in the quickest possible time afterwards, that roles and responsibilities are clearly defined and understood and that all relevant stakeholders are fully aware of the Plan and its content.	10		10		20

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
Use of Mobile Communications	Cross Cutting	Risk	The Council has recognised the growth of mobile communications which can be demonstrated a number of ways including: the introduction of a smartphone app to improve access to services together with the creation of integrated self-service opportunities via the Council website focussed on services which have high volume, low complexity transaction. The review will evaluate the effectiveness of the Council’s use of Mobile Communications for its community having regards to any appropriate legislation, guidance and internal policies.				10	10
SRS Work	Environment & Housing	Assurance	To review the procedures and processes in operation relating to the Shared Regulatory Service determine if the control environment is robust.		10	10		20
Telecare	Social Services	Assurance	To review the procedures and processes in operation relating to Telecare to determine if the previously identified areas of weakness have been fully rectified and that the control environment is robust.				10	10
Waste Management	Environment & Housing	Governance / Assurance / Risk	To review collection performance, arrangements in place for increasing levels of recycling, how customer complaints are dealt with, as well as monitoring costs and collecting income (trade waste).		10			10
Garage Services	Environment & Housing	Risk / Assurance	To review the processes and procedures in place relating to garage services to provide assurances that the internal control			10		10

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
			environment is robust. The review will focus the MOT system and controls within the TRANMAN system.					
Highways	Environment & Housing	Risk / Assurance.	To review progress against the three year highway resurfacing plan focusing on the use of contractors and compliance with Council's policies and procedures.  Highways Construction Team (HCT) – to evaluate a number of capital funded schemes managed by the HCT to ensure compliance with contract / financial procedure rules.			10	10	20
Occupational Health	MD & Resources	Risk	To review the processes and procedures in place for Occupational Health and to provide the necessary assurances on the effectiveness of the control environment.				10	10
Facilities Management	MD & Resources	Assurance	The audit will critically review the management and control of the Council's Office Accommodation Budget, (Facilities Management Budget).			10		10
Parent Pay	Learning & Skills	Assurance	To review the processes and procedures in place for the administration of Parent Pay and provide assurances on the overall robustness of the control environment.		10			10
Access to records – GDPR	Cross Cutting	Governance / Assurance / Risk	To ensure that the GDPR are being implemented and embedded throughout the Council		10			10
Catering	Learning & Skills	Governance / Assurance / Risk	To provide assurances as to the robustness of the overall governance structure within the Catering Service.		15			15

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
Stores	Environment & Resources	Assurance	To review the procedures and process in place for the administration of the stores department within the Directorate of Environment & Housing and provide assurance as to their effectiveness.			15		15
Supplier Management	Cross Cutting	Assurance	To undertake a trend analysis identifying the spend profile of the Council to ensure that policies and procedures are being adhered to.			10		10
Asset Management	Cross Cutting	Risk / Assurance	To ensure that the disposal of assets is in accordance with Council policy, rules and regulations.				10	10
Organisational Development Policy Compliance	MD & Resources	Assurance / Governance	To ensure that policies and procedures are being administered consistently across the organisation.			15		15
Project Management	Cross Cutting	Governance / Assurance / Risk	To undertake a review of the procedures and processes associated with a number of Projects / Programme. Particular emphasis will be placed on compliance to the Council's Rules and Regulations and Project Management Methodology.	10	10	10	10	40
ICT Audit	Cross Cutting	Governance / Assurance / Risk	ICT systems reviews will be undertaken across Directorates ICT systems to ensure robust controls are evident and operating effectively.		20		20	40
ICT – Social Services	Social Services	Governance / Assurance / Risk	Provide Assurances on the implementation of WCCIS / Dewis and ongoing update of systems.			15		15

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
Complaints / Representations & Advocacy – Social Services	Social Services	Governance / Assurance / Risk	<p>Review complaints process within Social Service to provide assurance as to its effectiveness and compliance with set targets.</p> <p>To provide assurances that the Council's policies and procedures are aligned to the National Approach to Statutory Advocacy for Children and Young People being introduced.</p> <p>Provide assurance that procedures and processes are in accordance with the Golden Thread Advocacy Programme for Adults.</p>	10	10	10		30
YOS	Social Services	Governance / Assurance / Risk	This is a statutory Service and this has not been audited for some time. Review to provide assurances on the early intervention and prevention schemes and young people transferred to secure estate.				10	10
Looked After Accommodated Children	Social Services	Governance / Assurance / Risk	As a result of the SS & WB Act, new regional strategy and guidance has been developed for care leavers. The review will provide assurance that regional care and support plans for looked after children have been developed in accordance with the requirements of the Act.		15			15
CIV Processes	Social Services	Assurance	To review and provide assurances as to effectiveness of CIV in accommodating and dealing with data collection, dealing with referrals and signposting as a result of the changes brought about by the implementation of the SS & WB Act.		10			10

Area	Directorate	Type	Audit Scope	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4	Total
<b><i>Sub Total Priority Two</i></b>				<b>70</b>	<b>150</b>	<b>195</b>	<b>120</b>	<b>535</b>
				<b>305</b>	<b>335</b>	<b>385</b>	<b>325</b>	<b>1,350</b>

Directorate Split

Directorate	Total
Cross Cutting	635
Environment & Housing	140
Learning & Skills	145
Managing Director & Resources	210
Social Services	210
Total	1,350