

# Pecyn Dogfennau Cyhoeddus

## Cabinet

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Man Cyfarfod  
**Siambwr y Cyngor - Neuadd y Sir,  
Llandrindod, Powys**

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Dyddiad y Cyfarfod  
**Dydd Mawrth, 3 Tachwedd 2020**

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Amser y Cyfarfod  
**3.30 pm**

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I gael rhagor o wybodaeth cysylltwch â  
**Stephen Boyd**  
01597 826374  
steve.boyd@powys.gov.uk



Neuadd Y Sir  
Llandrindod  
Powys  
LD1 5LG

Dyddiad Cyhoeddi

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Mae croeso i'r rhai sy'n cymryd rhan ddefnyddio'r Gymraeg. Os hoffech chi siarad Cymraeg yn y cyfarfod, gofynnwn i chi roi gwybod i ni erbyn hanner dydd ddau ddiwrnod cyn y cyfarfod

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## AGENDA

|           |                       |
|-----------|-----------------------|
| <b>1.</b> | <b>YMDDIHEURIADAU</b> |
|-----------|-----------------------|

Derbyn ymddiheuriadau am absenoldeb.

|           |                  |
|-----------|------------------|
| <b>2.</b> | <b>COFNODION</b> |
|-----------|------------------|

Awdurdodi'r Cadeirydd i lofnodi cofnodion y cyfarfod diwethaf fel cofnod cywir.  
(Tudalennau 1 - 2)

|           |                                 |
|-----------|---------------------------------|
| <b>3.</b> | <b>DATGANIADAU O DDIDDORDEB</b> |
|-----------|---------------------------------|

Derbyn unrhyw ddatganiadau o fudd gan Aelodau mewn perthynas ag eitemau sydd i'w trafod ar yr agenda.

|           |  |
|-----------|--|
| <b>4.</b> | <b>STRATEGAETH DYFODOL ANGHENION ADDYSGOL<br/>ARBENNIG/ANGHENION DYSGU YCHWANEGOL YM MHOWYS.</b> |
|-----------|--|

Ystyried adroddiad gan y Cynghorydd Phyl Davies, Aelod Portffolio ar faterion Addysg ac Eiddo.  
(Tudalennau 3 - 100)

|           |   |
|-----------|---|
| <b>5.</b> | <b>ADRODDIAD PERFFORMIAD CHWARTER 2</b> |
|-----------|---|

Ystyried adroddiad gan y Cynghorydd Graham Breeze, Aelod Portffolio – Llywodraethu Corfforaethol ac Ymgysylltu. Dyma'r ddolen i'r adroddiad Sway.  
<https://sway.office.com/XivRETVhVAJB7hDA?ref=Link>

|           |   |
|-----------|---|
| <b>6.</b> | <b>ADRODDIAD CHWARTER 2 Y GOFRESTR RISG STRATEGOL 2020/2021</b> |
|-----------|---|

Ystyried adroddiad gan y Cynghorydd Aled Davies, Aelod Portffolio – Cyllid, Cefn Gwlad a Thrafnidiaeth.  
(Tudalennau 101 - 134)

|           |   |
|-----------|---|
| <b>7.</b> | <b>RHAGOLWG ARIANNOL I'R FLWYDDYN DDAW I BEN 31 MAWRTH 2021<br/>(AR 30 MEDI 2020)</b> |
|-----------|---|

Ystyried adroddiad gan y Cynghorydd Aled Davies, Aelod Portffolio – Cyllid, Cefn Gwlad a Thrafnidiaeth.  
(Tudalennau 135 - 170)

|           |   |
|-----------|---|
| <b>8.</b> | <b>RHAGOLWG CYFALAF AR 30 MEDI 2020</b> |
|-----------|---|

Ystyried adroddiad gan y Cynghorydd Aled Davies, Aelod Portffolio – Cyllid, Cefn Gwlad a Thrafnidiaeth.

(Tudalennau 171 - 180)

**MINUTES OF A MEETING OF THE CABINET HELD AT BY TEAMS ON TUESDAY,  
20 OCTOBER 2020****PRESENT**

County Councillor M R Harris (Chair)

County Councillors MC Alexander, G Breeze, A W Davies, P Davies, H Hulme and R Powell

**1. APOLOGIES**

Apologies for absence were received from County Councillor James Evans.

**2. MINUTES**

The Leader was authorised to sign the minutes of the last meeting held on 29<sup>th</sup> September 2020 as a correct record.

**3. DECLARATIONS OF INTEREST**

There were no declarations of interest reported.

**4. NORTH POWYS WELLBEING PROGRAMME - PROGRAMME BUSINESS CASE**

Cabinet considered the programme business case for the North Powys Wellbeing project to develop a new integrated model of care on a multi-agency wellbeing campus on the Park site in Newtown for submission to Welsh Government. There had been significant engagement with local communities, staff and key stakeholders to co-design the new integrated model, based on a robust population needs assessment and case for change.

**DECISION**

- 1. To note the current position and progress made in relation to the programme.**
- 2. To approve the preferred site known as ‘the Park site’ for inclusion in the Programme Business Case.**
- 3. To approve the draft Programme Business Case in Appendix A for submission to Welsh Government at the end of October 2020.**

**5. TAKING A BREAK - RESPITE IN POWYS**

Cabinet considered a new respite policy for carers in Powys. The policy had been developed jointly with carers and was designed to give service users and their families increased flexibility in the way that respite care was provided. The

Portfolio Holder for Adult Social Care and the Director of Social Services expressed their appreciation for the work of carers.

**DECISION**

- 1. For Cabinet to agree the contents and implementation of the policy, as set out in Appendix I to the report.**
- 2. For the Communications Team to develop the policy into a web-document which can be printed as a leaflet for sharing.**

|           |  |
|-----------|--|
| <b>6.</b> | <b>POWYS COUNTY COUNCIL SUPPORT FOR SHIELDING INDIVIDUALS DURING THE COVID 19 PANDEMIC</b> |
|-----------|--|

Cabinet received details of the council's welfare call schemes to people who had been asked to shield by the government. Almost 24,000 calls had been made by council staff and councillors from 3<sup>rd</sup> April to 25<sup>th</sup> August and the service had been very warmly received by residents. With the country going into a two-week lockdown on 23<sup>rd</sup> October, the Regional Partnership Board had agreed that the Community Sector Response Groups would lead the community response and that the council's role would be to direct residents to the support that is available through the Council, the CSERT and local voluntary groups. The Leader and the Portfolio Holder for Corporate Governance and Engagement thanked all the staff and councillors who had been involved in making welfare calls.

**County Councillor M R Harris (Chair)**

**CYNGOR SIR POWYS COUNTY COUNCIL.****CABINET EXECUTIVE  
3 November 2020**

**REPORT AUTHOR:** County Councillor Phyl Davies  
Portfolio holder for Education

**REPORT TITLE:** The future of Special Educational Needs/ Additional Learning Needs in Powys Strategy

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**REPORT FOR:** Decision

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**1. Purpose**

1.1 This report requests Cabinet approval to agree and implement a new Future of Special Educational Needs/ Additional Learning Needs in Powys Strategy from October 2020.

1.2 This is required due to:

- Current inadequate / inconsistent SEN/ALN provision
- Findings in the Estyn report and recommendation from the post inspection action plan
- The implementation of Additional Learning Needs and Educational Tribunal (Wales) Act (ALN Act)

1.2 The report is supported by the following appendices:

**Appendix A** – Future of Special Educational Needs/ Additional Learning Needs in Powys Engagement Document

**Appendix B** – Future of Special Educational Needs/ Additional Learning Needs in Powys Engagement Feedback Document

**Appendix C** – Scrutiny Recommendations

**Appendix D** – Future of Special Educational Needs/ Additional Learning Needs in Powys Strategy

**Appendix E** – Costs by Activities

**2. Background**

2.1 There are currently 3545 pupils with special educational needs (SEN)/additional learning needs (ALN) in Powys. Out of these, 2011 pupils are on School Action, 1119 are on School Action Plus and 415 pupils have statements of SEN. 279 pupils attend one of the special schools and 138 attend primary or secondary specialist centres.

### 2.3 In terms of delegated funding, figures for 2019-20 are as follows:

**Table 1: 2020-21 funding for ALN**

|                         | Paragraph | Primary          | Secondary        |
|-------------------------|-----------|------------------|------------------|
| <b>Formula led</b>      |           |                  |                  |
| ALNCo                   | 3.4       | 732,740          | 394,488          |
| Proxy Indicators        | 3.5       | 2,154,118        | -                |
| Pastoral Support        | 3.7       | -                | 311,629          |
| 15:1 ratio classes      | 3.8       | -                | 1,870,342        |
| <b>Banding Top Up</b>   | 3.2       | 91,428           | 352,088          |
| <b>Total per sector</b> |           | <b>2,978,286</b> | <b>2,928,547</b> |

### 2.4 Information on overall and per pupil SEN expenditure can be found in this link:

[https://gov.wales/sites/default/files/statistics-and-research/2019-07/budgeted-expenditure-special-educational-needs-sen-provision-april-2019-march-2020-revised\\_0.pdf](https://gov.wales/sites/default/files/statistics-and-research/2019-07/budgeted-expenditure-special-educational-needs-sen-provision-april-2019-march-2020-revised_0.pdf)

### 2.5 Additional costs will be the restructure of the ALN team, which has been cut over recent years. Other costs will be very similar e.g. peripatetic pre-school support rather than specialist pre-school centres, satellites for some of the special school pupils, behaviour programmes reducing the need for later intervention. Some savings have been identified e.g. reduction in transport costs.

### 2.6 How this strategy was arrived at

- Review of SEN/ALN in September 2019 by education consultant, brought in following Estyn inspection
- Commitment made in PIAP to resolve deficiencies in SEN/ALN
- Review of specialist centres in November/December 2019
- Paper setting out the areas in which changes are required, including costs sent to Corporate Transformation in March 2020
- Areas for development approved by Transformation Board as part of the Workstream 4 PID – May 2020
- Vision shared with Improvement and Assurance Board – May 2020
- Vision shared with Scrutiny – June 2020
- Vision shared with Cabinet – June 2020
- Engagement with headteachers through meetings and emails to discuss the way forward in relation to behaviour provision and specialist centres

- Engagement exercise in July 2020 on the vision and areas for transformation
- Summary of the engagement process & results presented to Transformation Board August 2020
- Draft strategy September 2020
- Options appraisal – do nothing / do minimum (bronze) / do medium (silver – this is where the strategy is pitched at the moment) / do maximum (gold std) – against a short list of criteria drawn from vision / aims of strategy e.g.
  - Improves accessibility, equality and consistency of provision
  - Develops inclusive education within mainstream education wherever feasible
  - Supports early identification, intervention & effective transition planning
  - Meets the requirements of the ALN Act
  - Makes the improvements required by Estyn and Welsh Government

2.7 In June 2020, Cabinet agreed to an engagement process on a Future of Special Educational Needs/ Additional Learning Needs in Powys Engagement Document (Appendix A).

| <b>Proposed change</b>  | <b>Reason for change</b>   |
|---|--|
| <p>Six areas of transformation have been identified:</p> <ul style="list-style-type: none"> <li>• Mainstream</li> <li>• Early Support/Assessment</li> <li>• Specialist provision for pupils of statutory school age with the most complex needs</li> <li>• Specialist Centres</li> <li>• Specialist Behaviour provision</li> <li>• Provision for SEN/ALN learners up to the age of 25.</li> </ul> | <ul style="list-style-type: none"> <li>• Depending on where pupils live, they have access to a different quality and type of provision</li> <li>• Some pupils have to travel long distances to reach a provision that meets their needs</li> <li>• Access to provision through the medium of Welsh is inconsistent</li> <li>• Currently, not all pupils are educated in the setting that meets their needs best</li> <li>• Mainstream schools do not all have the facilities or expertise required to support pupils with a wide range of learning need</li> </ul> |

- 2.8 The engagement period started on the 24<sup>th</sup> June 2020 and ended on the 22<sup>th</sup> July 2020. A questionnaire was prepared which asked respondents for their views on the Future of Special Educational Needs/ Additional Learning Needs in Powys Engagement Document. This questionnaire was available online on the Council's website throughout the engagement period.
- 2.9 As well as responding via the questionnaire, respondents could submit written responses, either by e-mail or by post.
- 2.10 The engagement was publicised via social media and the Council's webpage, as well as direct targeting to all schools for dissemination to parents, pupils, governors and staff. It was also circulated to our partners in PThB and NPTC
- 2.11 A total of 82 individuals completed the engagement questionnaire in English and 4 in Welsh
- 2.12 Ten written responses were received to the engagement exercise.
- 2.13 An Engagement Feedback Report has been drafted – this can be found in Appendix B – but the following summarises the quantitative responses.

| <b>Question</b>   | <b>Agree / strongly agree</b> | <b>Neither agree nor disagree</b> | <b>Disagree or strongly disagree</b> |
|---|-------------------------------|-----------------------------------|--------------------------------------|
| 1. To what extent do you agree with the draft vision for SEN/ALN in Powys?  | 88%                           | 7%                                | 5%                                   |
| 2. To what extent they agree with the main issues identified relating to SEN/ALN provision in Powys                       | 77%                           | 14%                               | 9%                                   |
| 3. To what extent do you agree with these as the 6 main areas that Powys County Council has identified for transformation | 92%                           | 6%                                | 2%                                   |
| 4. To what extent do you agree with the ideas set out under Area of Transformation 1: Mainstream?                         | 83%                           | 13%                               | 4%                                   |
| 5. To what extent do you agree with the ideas set out under Area of Transformation 2: Early Support/Assessment            | 79%                           | 13%                               | 8%                                   |



|  |     |     |    |
|--|-----|-----|----|
| 6. To what extent do you agree with the ideas set out under Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs        | 83% | 12% | 5% |
| 7. To what extent do you agree with the ideas set out under Area of Transformation 4: Specialist Centres   | 78% | 16% | 6% |
| 8. To what extent do you agree with the ideas set out under Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD) | 78% | 17% | 5% |
| 9. To what extent do you agree with the ideas set out under Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25   | 83% | 14% | 3% |

### **3 Advice**

3.1 The comments received in response to the engagement report (Appendix B) were taken into consideration when developing the Future of Special Educational Needs / Additional Learning Needs in Powys Strategy (Appendix D)

3.2 Consequences of not taking action

- Failure to meet the needs of pupils with SEN/ALN in Powys
- Increase in out of county placements due to lack of space at special schools
- Increase in tribunals due to lack of appropriate provision or specialist support
- Further criticism from Estyn due to inadequate progress made against recommendations
- Failure to meet statutory duties under Additional Learning Needs and Educational Tribunal (Wales) Act (ALN Act)
- Potential for authority to have control of its education services taken away

#### 4. Resource Implications

4.1 The Council's current budget includes a total of £4.6 million for SEN / ALN provision and pupil inclusion. Of this, £2 million relates to the existing staffing structure. Table 4.1 sets out the overall additional estimated costs to deliver the proposed ALN strategy. Appendix E confirms the detail of additional costs and cost savings projected over the next three years.

Table 4.1

|   | <b>Year 1<br/>2020-21<br/>£</b> | <b>Year 2<br/>2021-22<br/>£</b> | <b>Year 3<br/>2022-23<br/>£</b> |
|---|---------------------------------|---------------------------------|---------------------------------|
| Cost of Existing Structure (excluding grant funded elements)                    | 2,027,570                       | 2,027,570                       | 2,027,570                       |
| Additional Annual Cost of ALN Strategy as proposed (net of estimated savings)   | 523,350                         | 756,260                         | 466,800                         |
| <b>Total Annual Cost of ALN Strategy as proposed (net of estimated savings)</b> | <b>2,550,920</b>                | <b>2,783,830</b>                | <b>2,494,370</b>                |
| Funded by:  |                                 |                                 |                                 |
| – ALN Transformation Grant  | 142,270                         | 0                               | 0                               |
| – Regional ALN Grant  | 82,940                          | 0                               | 0                               |
| – 21st Century Schools Transformation Funding                                   | 49,230                          | 256,150                         | 256,150                         |
| – PCC Transformation Fund   | 292,520                         | 107,720                         | 0                               |
| – Existing Base   | 2,027,570                       | 2,027,570                       | 2,027,570                       |
| <b>Total Funding</b>  | <b>2,594,530</b>                | <b>2,391,440</b>                | <b>2,283,720</b>                |
| Surplus / <b>Shortfall (-)</b> in funding                                       | 43,610                          | <b>-392,390</b>                 | <b>-210,650</b>                 |

4.2 The proposed ALN strategy is estimated to cost an additional £523,350 in the current financial year, 2020-21, for which funding is identified as set out above, in particular there are two government grants available in 2020-21 only.

4.3 In 2021-22, as the ALN strategy rolls out further the cost increases to an additional £756,260 (£232,910 more than in 2020-21). This plus the loss of the one-off grant funding from 2020-21 results in a total revenue cost pressure of £392,390 for the financial year.

4.4 In 2022-23 further potential savings as a result of implementing the ALN strategy are anticipated which will reduce the additional ongoing annual costs to £466,800, however the funding is still not sufficient to cover this

and there remains an ongoing annual revenue cost pressure of £210,650.

- 4.5 It should be noted that in 2024-25, it is likely that the 21<sup>st</sup> Century Schools Transformation Funding will cease and this amount (£256,150) will become an additional cost pressure unless costs can be reduced in line with the reduction in available funding.
- 4.6 The table sets out a number of funding sources that have been identified to part-fund the implementation of the strategy, including a bid to the Council's Transformation Fund and the Welsh Government's 21<sup>st</sup> Century Schools Capital Grant. Clear evidence is yet to be provided to confirm eligibility of these costs under these funding streams and it should also be noted that officers are awaiting confirmation from Welsh Government as to whether this element can be funded in this way.
- 4.7 The costings include potential cost reductions that the strategy could deliver as it is implemented year on year, including the potential to reduce future out of county placements as satellite provision comes on stream.
- 4.8 In addition to the potential savings already included, it is likely that there will be cost reductions identified within Home to School Transport, possibly around £130,000, and these will need to be confirmed and considered as part of funding proposals.
- 4.9 The greatest longer term benefit to the Council will be cost avoidance of approximately £70,000 per out of county placement as the more inclusive approach to ALN provision is embedded over a period of five to ten years, through supporting mainstream schools to meet the needs of pupils with a wide range of learning needs
- 4.10 The additional cost pressures identified in sections 4.3 and 4.4 above for 2021-22 and 2022-23 cannot be accommodated within the Schools Service budget. In order for the recommendation to be approved a commitment to allocate additional funding from 2021-22 is required. This funding will be considered as part of the Council's revenue budget setting process.
- 4.11 Some elements of the strategy will require capital investment through the 21<sup>st</sup> Century Schools programme so are included within the wider Transforming Education programme costs rather than within these costings. The funding to support these costs will be considered as part of the overarching financial strategy for the delivery of the entire Council's Strategy for Transforming Education in Powys 2020-30, which will be provided for Cabinet's consideration later this Autumn.
- 4.12 The Head of Finance (section 151 officer) notes the content of the report. Implementation of the strategy is reliant on the provision of additional revenue budget to support it and approval of the

recommendation commits to prioritising this within the revenue budget from 2021/22. On this basis the recommendation can be supported.

**5. Legal implications**

5.1 Comment from Monitoring Officer noted and amended

**6. Comment from local member(s)**

6.1 N/A

**7. Recommendation**

7.1 It is recommended that Cabinet:

- i) Approves the Future of Special Educational Needs/ Additional Learning Needs in Powys Strategy (Appendix D) for implementation from October 2020.
- ii) That the costs be included in the Financial Resource Model (FRM)

|                     |   |
|---------------------|---|
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| Head of Service:    | Emma Palmer – Head of Transformation & Communications<br>Lynette Lovell – Interim Chief Education Officer |
| Corporate Director: | Dr Caroline Turner  |

CABINET REPORT TEMPLATE VERSION 7



# Transforming Education in Powys

The future of Special Educational/Additional Learning  
Needs in Powys

Engagement Document  
24th June to 22nd July 2020

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# Contents

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# Foreword

Over the last 8 months we have had significant engagement with parents, learners, school staff and others to help inform the re-shaping and transformation of the educational provision for children and young people in Powys.

This engagement has now focused our activity on 4 key work streams as we plan for the future:

- The provision of primary and secondary mainstream education, and the need for significant investment to make our facilities fit for delivering a broad 21st century curriculum for all of our learners
- The need to transform our provision for post-16 learners
- The provision needed to provide equity for learners studying in Welsh, improving progression and accessibility
- The need to transform our provision for learners who need additional support, usually defined as learners with special educational needs (SEN) or additional learning needs (ALN).

We hope to spend £350m on the Transformation programme in partnership with Welsh Government, and our intention is that we get it right.

In line with changes in legislation, the LA will be responsible for children and young people with additional learning needs from 0 to 25.

This document is an important development for the final workstream -provision for learners with SEN/ALN.

Cllr Phyl Davies

Portfolio Holder for  
Education & Property



The current provision for these learners includes in-class support in a mainstream setting, placement in a specialist facility attached to a mainstream school and highly specialist support in one of our special schools.

Through our engagement we know that there is much to be done to provide better alignment of services and greater equity across Powys, as well as a need for investment to enable our schools to be able to make stronger provision for learners with SEN/ALN.

This document is designed to take that dialogue to the next steps. We are setting out a draft vision for how we believe we can make stronger provision for our learners with SEN/ALN – from those who require short-term support to those who need residential care and respite care. We would urge you to read the document, and express your views to us, to help inform our way forward as we plan the most significant investment ever in Powys schools.

Your views will be greatly appreciated as we take matters forward to secure final investment plans.

Diolch yn fawr

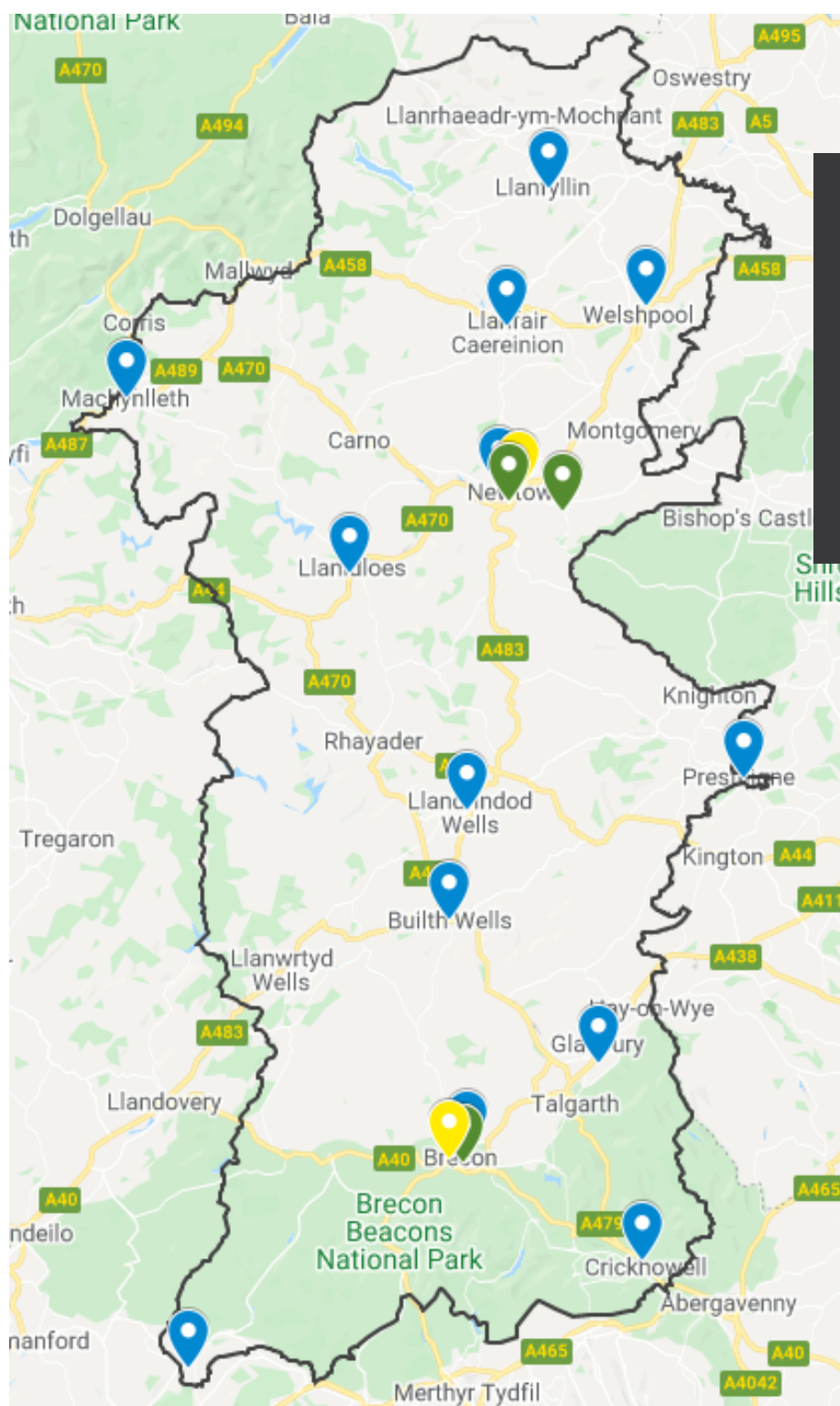
Cllr Phyl Davies

Portfolio Holder for Education and Property

# Current situation in Powys

There are currently 3545 pupils with special educational needs (SEN)/additional learning needs (ALN) in Powys. Out of these, 2011 pupils are on School Action, 1119 are on School Action Plus and 415 pupils have statements of SEN. 279 pupils attend one of the special schools and 138 attend primary or secondary specialist centres.

Powys currently has three special schools and two pupil referral unit (PRU) settings, as shown on the map below.



Map Key

- Secondary Schools
- Pupil Referral Units
- Special Schools

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In addition, there are currently 23 specialist centres in Powys. 19 of these cater mainly for pupils with moderate learning difficulties (MLD), and autistic spectrum disorder (ASD), based in primary and secondary schools. Four of them are also pre-school assessment centres.

| School                         | Key Stage (KS)          | Need  |
|--------------------------------|-------------------------|---|
| Llanfaes Primary               | Pre-school              | Children with emerging or identified needs          |
| Llandrindod Wells CP Cefnlllys | Pre-school              | Children with emerging or identified needs          |
| Maesyrrhandir CP               | Pre-school              | Children with emerging or identified needs          |
| Ysgol Golwg y Cwm              | Pre-school              | Children with emerging or identified needs          |
| Welshpool C in W Primary       | Foundation Phase (FP)   | MLD   |
| Mount Street Infants           | FP                      | MLD   |
| Mount Street Juniors           | KS2                     | MLD   |
| Ysgol Bro Tawe                 | FP and KS2              | ASD and diagnosed social communication difficulties |
| Ysgol Dyffryn y Glowyr         | FP and KS2 Welsh medium | MLD   |
| Ysgol Golwg y Cwm              | FP                      | MLD   |
| Ysgol Golwg y Cwm              | KS2                     | MLD   |
| Builth CP                      | KS2                     | MLD   |
| Knighton CP                    | FP and KS2              | MLD   |
| Llandrindod Wells CP Cefnlllys | FP                      | MLD   |
| Llandrindod Wells CP Cefnlllys | KS2                     | MLD   |
| Llanidloes Primary             | KS2                     | MLD   |
| Bro Hyddgen                    | FP and KS2              | MLD   |
| Maesyrrhandir Primary          | KS2                     | MLD   |
| Welshpool C in W Primary       | KS2                     | MLD   |
| Brecon High                    | Secondary               | ASD and diagnosed social communication difficulties |
| Calon Cymru (Llandrindod)      | Secondary               | ASD   |
| Llanidloes High                | Secondary               | ASD   |
| Ysgol Maesydderwen             | Secondary               | MLD   |
| Ysgol Maesydderwen             | Secondary               | ASD   |

# SEN/ALN Vision - Guiding Principles

The Draft ALN Code of Practice sets out its aim and principles as follows:

## Aim

**To support the creation of a fully inclusive education system where all learners are given the opportunity to succeed and have access to an education that meets their needs and enables them to participate in, benefit from, and enjoy learning**

## Principles

- a) **A rights-based approach** where the views, wishes and feelings of the child, child's parents/carers or young person are central to planning and provision of support,
- b) **Early identification, intervention and effective transition planning,**
- c) **Collaboration** where all involved work together in the best interests of the child or young person,
- d) **Inclusive education** supporting participation fully in mainstream education, wherever, feasible and a whole setting approach to meeting the needs of learners with ALN, and
- e) **A bilingual system** where all reasonable steps are taken to deliver additional learning provision (ALP) in Welsh for children and young people who require support through the medium of Welsh.

# The vision for SEN/ALN in Powys

The vision for SEN/ALN in Powys is that:

- All pupils across Powys will receive high quality provision that meets their needs, no matter where they live,
- Most pupils with SEN/ALN will be taught in their local mainstream school
- All pupils with SEN/ALN will be placed in a provision that meets their needs, as near to home as is practicably possible, with the appropriate specialist teaching, support and facilities that enables every learner to meet their potential
- There will be a comprehensive range of specialist provision, including special schools, PRU, specialist centres, satellite centres and early assessment provision
- This will include both English and Welsh medium provision
- Special schools will cater for those pupils who have the most complex needs, for example severe learning difficulties (SLD), profound and multiple learning difficulties (PMLD) and complex ASD
- Schools within and across geographical areas will support each other and share effective practice

# Current issues

The current issues facing Powys at the moment include:

- Depending on where pupils live, they have access to a different quality and type of provision
- Some pupils have to travel long distances to reach a provision that meets their needs
- Access to provision through the medium of Welsh is inconsistent
- Currently, not all pupils are educated in the setting that meets their needs best
- There are pupils in special schools who could be taught in mainstream classes or specialist centres
- There are pupils in specialist centres who should be in mainstream classes
- There are pupils in the PRU who, with the right type of provision and support, could attend mainstream schools
- Mainstream schools do not all have the facilities or expertise required to support pupils with a wide range of learning needs



# What should SEN/ALN provision across Powys look like in the future?

It is proposed that all mainstream schools should be supported to meet the needs of pupils with a wide range of learning needs. It will only be the pupils with the most complex needs who should be attending specialist provision.

It is proposed that for the purpose of specialist provision, Powys should be divided into four or five areas. These **could** be as follows:

- Area 1 - Llanfyllin, Welshpool and Llanfair Caereinion
- Area 2 - Machynlleth, Llanidloes and Newtown
- Area 3 - Presteigne, Llandrindod Wells and Builth Wells
- Area 4 - Gwernyfed, Brecon, Crickhowell and Ystradgynlais

In terms of Welsh medium provision, it may be necessary to develop one county-wide model.

The intention is that each area should have similar (though not identical provision). Differences may be where there is already an existing special school, or where the needs of the region are different. For example, one area may have a greater need for behaviour provision than another. Provision may include special schools, satellites of special schools, PRU, outreach from special schools and PRU, specialist centres and pre-school provision.

## Areas in which transformation is required

In order to achieve this vision, wholesale transformation is going to be required. This will involve the refiguration of current provision and development of new provision as well as supporting mainstream schools to be able to meet the learners of a wider range of pupils with SEN/ALN.

Alongside the proposed transformation described in this document, there will be a restructure of central services. This will enable the local authority (LA) to provide the support for schools that will be required to take this transformation forward. Information about the restructure will be provided in a separate paper at the appropriate time, in line with advice from HR.

Six areas of transformation have been identified:

- Mainstream
- Early Support/Assessment
- Specialist provision for pupils of statutory school age with the most complex needs
- Specialist Centres
- Specialist Behaviour provision
- Provision for SEN/ALN learners up to the age of 25.

# Area of Transformation 1: Mainstream

The Additional Learning Needs and Education Tribunal (Wales) Act 2018 states that local authorities have a duty to favour education for children at mainstream maintained schools:

## Additional Learning Needs and Educational Tribunal (Wales) Act 2018

### 51. Duty to favour education for children at mainstream maintained schools

(1) A local authority exercising functions under this Part in relation to a child of compulsory school age with additional learning needs who should be educated in a school must secure that the child is educated in a mainstream maintained school unless any of the circumstances in paragraphs (a) to (c) of subsection (2) apply.

(2) The circumstances are—

- (a) that educating the child in a mainstream maintained school is incompatible with the provision of efficient education for other children;
- (b) that educating the child otherwise than in a mainstream maintained school is appropriate in the best interests of the child and compatible with the provision of efficient education for other children;
- (c) that the child's parent wishes the child to be educated otherwise than in a mainstream maintained school.

### Current situation

- In Powys, there are examples of effective practice in mainstream schools in relation to pupils with SEN/ALN
- However, there are pupils in specialist provision who could attend mainstream classes. This includes pupils with MLD and ASD.
- School buildings do not always make it easy for schools to support pupils who need time out of the classroom, such as wellbeing centres
- Not all mainstream schools in Powys are fully accessible for pupils, staff and parents with disabilities, including changing and washing facilities, and adaptations for pupils with visual or hearing impairment
- The current stock of school buildings do not always have the facilities required for staff to carry out essential SEN/ALN work, such as meeting rooms for reviews of statements, rooms for specialists such as educational psychologists and therapists

### Challenges caused by the current arrangements

- Not all mainstream pupils with SEN/ALN are able to attend their local school alongside their siblings and friends

### What improvements could be made through change

- All schools should be adapted over time to meet the needs of children, young people and adults with disabilities
- All schools should have a suitable environment and/or facilities for supporting pupils with SEN/ALN and/or wellbeing issues
- Most pupils with SEN/ALN should be educated in mainstream classes. This will include pupils with a range of difficulties including ASD, MLD, physical difficulties, behavioural, emotional and social difficulties (BESD).

### Proposals for immediate consideration

- Carry out an audit of all school buildings and identify where work is required
- When building new secondary schools, include areas for supporting pupils with SEN and/or wellbeing issues
- Review and revise the delegation of SEN/ALN funding
- Review the effectiveness of teaching assistants (TAs) across Powys
- Strengthen special school and PRU outreach services to provide advice, support and guidance to more schools

### Planned impact

- Most pupils with SEN/ALN will be able to attend their local mainstream school and be fully included in all activities
- Only those with the most complex needs will need to access specialist provision

### What would be the process for implementing this proposal?

- A county-wide training programme will be developed, so that staff in all schools can be upskilled in relation to a wider range of SEN/ALN, including autistic spectrum disorder, speech, language and communication difficulties, specific learning difficulties (including dyslexia) and BESD
- The LA ALN service will be strengthened through a restructure, to ensure that central staff have a high level of expertise in specific aspects of SEN/ALN. This may include the secondment of specialist staff from schools
- Training will be provided not only by centrally employed staff but also by the special schools, PRU and other specialist provision
- School-to-school support will be an important part of upskilling schools. This will include identifying and sharing effective practice
- Where appropriate, staff in each area will be trained as trainers, so that they can train other staff within their area on a rolling programme

## Area of Transformation 1: Mainstream

### Process for Consultation

- Follow HR processes for the restructure of the ALN Service

## Area of Transformation 2: Early Support/Assessment

### Current situation

Currently there are four pre-school assessment centres in mainstream schools in Powys. At some of the centres, most of the children only attend the centre for around 5 hours a week, alongside 5 hours at a nursery provision. This is not felt to be an effective model.

Numbers of pupils currently attending these provisions are as follows:

| Setting      | No of children attending (March 2020) |
|--------------|---------------------------------------|
| Cefnlllys    | 5                                     |
| Golwg Y Cwm  | 4                                     |
| Llanfaes     | 4                                     |
| Maesyrhandir | 8                                     |

### Challenges caused by the current arrangements

- Overall, headteachers report that the current model of 5 hours a week is not as effective as it could be
- Only a small number of pupils who live near one of the four centres can benefit from this provision
- Headteachers report that there are increasing numbers of children who start school without the skills they need to be able to learn
- Not all staff in the centres have a high enough level of expertise in SEN/ALN, and intervention is not always targeted enough
- Not all centres have sufficient access to multi-agency support
- Some young children are currently travelling long distances in taxis to reach a specialist centre
- Placing children together who have, for example, speech and language difficulties does not give them role models to copy



### What improvements could be made through change

The Draft Additional Learning Needs Code for Wales states that:

#### Draft Additional Learning Needs Code for Wales

'Where multi-agency working is required to support children and young people making transitions, the agencies involved should work together to provide personalised, integrated support that delivers positive outcomes for children and young people, bringing together support across education, health, social care and other relevant agencies from early childhood through to adult life'

'The earlier action is taken, the more effective the action is likely to be. Identifying ALN at an early stage and delivering appropriate interventions can also prevent the need for future more costly and less effective interventions'.

A significant change that will be taking place under the Additional Learning Needs and Educational Tribunal (Wales) Act (ALN Act) is the requirement for LAs to take responsibility for children and young people aged 0 to 25. This will require:

- Identification of pupils with SEN at an earlier stage i.e. from birth
- Equity of services for children and families across Powys
- More effective multi-agency support for settings and parents
- Training for early years settings to enable them to identify children with SEN/ALN
- Training for early years settings to enable them to address the needs of children with SEN/ALN
- Improved support for children on transition to primary
- Support for pre-school settings in the development of individual development plans (IDPs) – a requirement of the ALN Act

### Proposals for immediate consideration

To develop a multi-agency team/model, consisting of education, Children's Services and health staff, who would be able to cover the whole of Powys. An Early Years ALN Lead Officer (ALNLO) has recently been appointed and will be part of this team. This is a statutory role.

The team could include the Early Years ALNLO, Educational Psychologist, Sensory team, Speech, Language and Communication therapist, Early Years team, Health visitors and Flying Start.

The role of the team will be to identify children with (emerging) SEN/ALN, assess their needs, provide advice and guidance to families and settings and monitor the progress made. The team will also provide a robust programme of training for pre-school settings, so that they feel confident in supporting pupils with a range of needs.

## Area of Transformation 2: Early Support/Assessment

It is likely that, once this provision is well-established, there will no longer be a need for some or all of the four pre-school centres.

### Planned impact

- Young children will be able to attend pre-school provision in their own communities, rather than having to travel long distances
- They will be educated with their siblings and friends
- They will benefit from being educated alongside peers who do not have learning difficulties
- A multi-agency model will provide a more effective early intervention by highly qualified staff and should help children to make progress and reduce the need for intervention at a later stage
- A much larger number of children will be supported across Powys
- When children first enter school, there will be a wealth of information which will enable schools to address the needs of pupils from the start
- Families will be able to receive support as soon as their child has been identified as having a possible learning need

### What would be the process for implementing this proposal?

- Work with other agencies to develop a model of multi-agency support

### Process for Consultation

- No formal consultation will be needed for the development of a multi-agency team, but the views of stakeholders will be sought
- Once this provision is established, there may no longer be need for some or all of the pre-school centres. If this is the case, formal consultation will be required

## Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs

### Current situation

In Powys there are currently two special schools for pupils with a range of complex SEN:

- Ysgol Cedewain (Newtown) - for pupils aged 3 to 19
- Ysgol Penmaes (Brecon) - for pupils aged 3 to 19

Current numbers at these two special schools are as follows:

| School         | No. on Roll |
|----------------|-------------|
| Ysgol Cedewain | 120         |
| Ysgol Penmaes  | 110         |

### Challenges caused by the current arrangements

- There are some pupils with complex needs who are not able to attend one of the special schools because of the long distances they would have to travel
- Currently there are no clear shared entry and exit criteria across Powys
- In some cases, parents of pupils with significant needs do not wish their children to attend a special school. Currently, dependent on where they live, these parents do not have a wide enough range of options.
- In a few cases, due to the lack of nearby provision, pupils attend mainstream schools which struggle to meet their needs
- There is no Welsh medium special school provision in Powys
- Currently there are some pupils in Ysgol Cedewain and Ysgol Penmaes who should not be in special schools. This includes pupils with mental health issues such as anxiety who are working towards and achieving A levels
- Pupils attending the special schools have limited opportunities to access mainstream education – there is a need for more flexibility

### What improvements could be made through change

In the future, special schools in Powys will provide education for those pupils who have the most complex needs. Pupils should only attend these schools when they are unable to access mainstream provision despite high quality teaching, appropriate curriculum and a high level of support. Entry and exit criteria for all specialist provisions need to be developed and shared.

### Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs

While some pupils will attend a special school for the whole of their education, for others, placement at a special school may be for a fixed period of time. This should be reviewed regularly. All pupils should have the right to return to mainstream education if appropriate.

There will be more opportunities for pupils with the most complex needs to attend specialist provision within a local mainstream school, or spend part of the week at a special school and the rest of the time in a mainstream schools.

#### Proposals for immediate consideration

The two complex needs special schools are based in the Newtown and Brecon areas. Plans are already in place to build a new school for Ysgol Cedewain. The design takes into consideration the fact that classes will be smaller than in the current building in order to cater for pupils with highly complex needs.

In the other geographical areas, we will establish satellites\* of these special schools.

Satellites of special schools will provide education mainly for pupils who meet the criteria for a special school, but who do not live within easy travelling distance of a special school. They will provide for pupils from the age of three, in line with the special schools, allowing more effective early intervention.

Satellites will normally consist of six to eight pupils, with one teacher, one higher level teaching assistant (HLTA) and one TA who will either have been seconded from one of the special schools or will be appointed to the role and will be part of the staff of the special school. Dependent on the number of pupils in the class and their level of need, it may be necessary to provide additional TA support.

Pupils will be on roll at the special school. If appropriate, they will attend the satellite four days a week and the special school one day a week.

Although on the roll of the special school, pupils will be part of the mainstream school. They will access activities such as assemblies, break and lunchtimes, as well as some lessons if appropriate.

\* A satellite is, essentially, a special school class within or attached to a mainstream school. This is a model that works extremely effectively in other LAs, for example Caerphilly.

### Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs

#### Planned impact

By creating satellites, there will be:

- greater equity across Powys as pupils with the most complex needs will be within reach of either one of the special schools or one of the satellite centres, including those who wish to be educated through the medium of Welsh
- a reduction in home to school transport costs
- a reduction in the need for special school places which in turn may lead to a reduction in the need for expensive out of county placements
- increased opportunities for pupils to move from a special school to a satellite or vice versa, in line with pupil needs and wishes
- upskilling of mainstream staff through the presence of highly specialist staff in the satellites

#### What would be the process for implementing this proposal?

- In order to implement these changes, there is a need to identify schools with:
  - Appropriate accommodation
  - An inclusive ethos
  - A senior leadership team committed to inclusion
- Officers and staff from the mainstream schools identified will work closely with the special school headteachers to develop the provisions
- Clear entry criteria will be developed
- A service level agreement between the LA, special school and mainstream school will be produced, to ensure that roles and responsibilities are clear
- Staff from the special schools will be given the opportunity for secondment to a satellite

#### Process for Consultation

It is unlikely that there will be a need for statutory processes to take place in order to set up a satellite. However, it is proposed that engagement with relevant stakeholders would take place.

## Area of Transformation 4: Specialist Centres

### Current situation

There are currently 19 specialist centres for school-age pupils, in addition to the four pre-school centres.

### Challenges caused by the current arrangements

A review of the specialist centres was carried out by the SEN/ALN team in December 2019. Although strong features were observed in some of the centres, overall many areas for development were identified in relation to the current model. These include:

- Many of the specialist centres cater for pupils with MLD who should be educated in mainstream classes
- Some of the specialist centres cater for pupils with ASD who attend mainstream lessons for a high percentage of the week, but go to the centre for support – these pupils should not be in a LA funded provision
- There is a lack of clarity around the designation of some of the centres – are they MLD or ASD?
- A lack of strategic planning means that there are issues around transition from primary to secondary. Pupils who attend an MLD provision in primary currently move on to either mainstream secondary school or special school provision. This results in pupils who should be in mainstream entering special schools
- Access to specialist provision varies according to where a pupil lives
- Only a few of the staff working in the specialist centres have specialist qualifications in SEN/ALN
- Entry criteria to the centres are at times too vague
- Too much of the provision is long-term, and does not have a clear enough focus on helping pupils to return to mainstream education

### What improvements could be made through change

- In the future, specialist centres should provide education for those pupils who are generally not able to manage in mainstream classes, despite effective teaching and the use of appropriate strategies
- Specialist centres in Powys will cater for pupils who are unable to access many mainstream lessons, but who can benefit from being in a mainstream school
- Classes will normally have 6 to 8 pupils, with one teacher and one/two TAs
- Where possible, placement at the centres will be short-term and part-time
- There will be an expectation that where possible pupils will return to mainstream after a period at a centre
- Teachers will hold a post-graduate diploma in a relevant area of SEN/ALN
- A majority of the teaching will take place in the centre.
- Pupils will access some lessons or activities in line with their needs
- Teaching in the centres will include targeted specialist programme

### Proposals for immediate consideration

There is a need to reorganise the 19 specialist centres, to ensure that they support the right pupils at the right time in the right place. This is likely to involve closing or moving some of the centres, changing the nature of other centres and opening new provisions. Meetings with headteachers are currently taking place to discuss the future of all provision for SEN/ALN.

Initial thoughts, in line with what happens across much of Wales, is that Powys should have the following:

- Centres for pupils with complex needs rather than MLD
- Centres for pupils with more complex ASD rather than for pupils who can access a high percentage of mainstream lessons
- Centres for pupils with significant speech, language and communication difficulties
- Centres that are spread out more evenly across Powys, where there is identified need
- Similar centres in primary and secondary, so that pupils can transition smoothly

Within the four or five geographical areas referred to earlier in the report, we will aim to ensure that there is a suitable (but not necessarily identical) range of provision in each area. At the same time we will take into consideration the fact that different areas may have slightly different needs.

### Planned Impact

- Pupils with a wide range of needs will receive high quality specialist intervention, as close to their homes as is possible
- There will be greater equity across Powys
- Pupils with significant needs will be able to attend mainstream schools
- The special school will be able to focus on those pupils who have the most complex needs
- There will be a reduction in the frequency of tribunals as a result of a more appropriate range of provision

### What would be the process for implementing this proposal?

The changes will need to be made in a number of phases over two or three years. This is in order to manage the statutory processes, make sure that schools and parents are on board, and make sure that individual pupils are not affected negatively by the changes.

Data has been collated on where pupils with SEN/ALN live, as well as their type of need. This information will also inform planning.

## Area of Transformation 4: Specialist Centres

### Process for Consultation

A meeting has been held with the headteachers of schools with specialist centres to obtain their views. Further meetings were planned for March 20th and 24th to obtain the views of all headteachers. These have had to be cancelled. Instead, an email has been sent out to all headteachers asking for their views. Responses will be taken into account when developing proposals further. In addition, virtual meetings have been held with focus groups of headteachers while schools are closed. It is essential that headteachers are on board, if we are going to be successful in making changes.

Statutory processes will need to be followed in order to open or close specialist centres.

## **Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD)**

### Current situation

In Powys the current provision for pupils with BESD is as follows:

- Ysgol Brynllwarch (Kerry)
- Pupil Referral Unit (PRU) North (Newtown)
- Pupil Referral Unit (PRU) South (Brecon)

Ysgol Brynllwarch provides education for pupils at KS2 and above, who have significant BESD. They should have received regular input from behaviour specialists while they are attending mainstream schools. Despite this input, they will still struggle to regulate their behaviour, and will require more specialist provision. After a period of time at Ysgol Brynllwarch, they may be able to return to mainstream.

The PRU caters for pupils with a range of needs, including:

- Pupils with BESD
- Pupils who have been permanently excluded for a one-off incident and for whom an alternative school placement cannot be found
- Pupils with medical needs
- Pupils with anxiety
- Pregnant schoolgirls

The PRU caters mainly for pupils aged 11-16, but also for a few pupils at KS2 at one of the centres. Provision currently includes:

- Part-time placement for KS2 pupils (one day a week).
- Full-time short-term placement for KS3 pupils – usually up to 12 weeks
- Full-time placement for KS4 pupils



## Area of Transformation 5: Specialist provision for pupils with BESD

At KS3, the intention is that pupils should return to a mainstream school after a period at the PRU. At KS4, pupils are more likely to move on to further education, work-based learning or employment.

The following pupils with behavioural difficulties can be eligible for admission to the PRU:

- Pupils who are struggling to regulate their behaviour, despite high quality teaching, appropriate curriculum, well-developed pastoral systems and ongoing support from the outreach service
- Pupils attending mainstream secondary schools who are at risk of permanent exclusion
- Pupils permanently excluded from mainstream secondary schools, where a managed move is not appropriate
- Pupils excluded from a mainstream school who require a short-term intervention before moving to an alternative mainstream school
- Pupils moving into the county who have been attending comparable provision

Generally, pupils with anxiety should be supported to remain in mainstream schools.

### Challenges caused by the current arrangements

- There is a lack of BESD provision at Foundation Phase and Key Stage 2
- Support for BESD is generally not provided until a pupil's difficulties have reached a certain level
- Training for behaviour across the LA has not been coordinated well enough
- Dependent on where they live, not all pupils in Powys have access to appropriate behaviour provision
- Although some pupils accessing behaviour provision return to mainstream education, this is infrequent
- There is no Welsh medium BESD provision
- Ysgol Brynlywarch currently consists of an old building that is not fit for purpose
- The two buildings currently used by the PRU lack space and facilities and therefore limit the range of learning experiences that can be offered

### What improvements could be made through change

- All schools and pupils will have access to the same type of training, support and provision at the right time
- Schools will build up expertise
- Early intervention will allow schools to support most pupils without the need for a specialist placement
- Only those with the most significant difficulties will access specialist provision
- There will be more opportunities for pupils who attend specialist provision to access or return to mainstream schools
- Capital projects will ensure that pupils are educated in buildings that are fit for purpose and meet their needs

## Area of Transformation 5: Specialist provision for pupils with BESD

### Proposals for immediate consideration

Plans are already in place to build a new school for Ysgol Brynllwarch.

Consideration should be given to developing new buildings for the PRU. More work needs to be done to establish exactly where in Powys this provision should be, and how many sites are required.

Headteachers have expressed the need to develop some kind of BESD provision, especially at Foundation Phase and KS2. They report that there are increasing numbers of pupils who start school without the skills they need to be able to learn. Many children and young people struggle in school or display challenging behaviour because of their adverse childhood experiences (ACEs), including trauma. Further discussion is needed regarding the exact nature of these provisions. However, it is envisaged that they will offer short-term part-time interventions for groups of pupils. By offering short-term interventions, a larger number of pupils will be able to access support.

One possible model is that pupils will receive a six-week programme of targeted intervention, after which time the expectation is that they should return to their mainstream school. Where required, a further six-week programme may be offered. Pupils will remain on the roll of their local school.

Prior to the start of the programme, specialist teachers will:

- visit and observe pupils in their home schools
- talk to headteacher/Additional Learning Needs Co-ordinator/class teacher about the individual pupil
- scrutinise documentation including statement/individual plans, reports from specialists etc.

During the six weeks, attendance at the specialist provision will be as follows:

|               |   |
|---------------|---|
| <b>Week 1</b> | 5 days on specialist programme                        |
| <b>Week 2</b> | 4 days on specialist programme, 1 day at home school  |
| <b>Week 3</b> | 3 days on specialist programme, 2 days at home school |
| <b>Week 4</b> | 2 days on specialist programme, 3 days at home school |
| <b>Week 5</b> | 1 day on specialist programme, 4 days at home school  |
| <b>Week 6</b> | 5 days at home school                                 |

## Area of Transformation 5: Specialist provision for pupils with BESD

The areas where these are most likely to be needed are:

- Welshpool
- Llandrindod
- Ystradgynlais

Alongside these interventions, the LA will provide or facilitate a suite of training for all schools. There will be an expectation that schools will have accessed this training and tried a range of strategies before applying for a pupil to attend specialist provision.

The LA will also work with schools to develop their own nurture or wellbeing provision.

### Planned impact

- Targeted intervention will reduce the number of exclusions
- There will be a reduction in the number of pupils requiring full-time PRU or special school provision
- Schools will be more able to manage pupils who display BESD
- Short-term provision will mean that more pupils will be able to access specialist input
- Part-time placement will mean that pupils will continue to attend their mainstream school
- Mainstream staff will be able to benefit from the input of specialist staff and develop strategies to support other pupils at the school

### What would be the process for implementing this proposal?

A behaviour focus group of headteachers has been established, and met on May 1st. LA officers will continue to work with this group (and with other headteachers) to develop the model.

It is possible that the provision will be managed by the PRU headteachers. Further discussion is required here.

### Process for consultation

There should be no need for statutory processes in order to set up the behaviour programmes. If a decision were made to set them up as centres, statutory processes would need to be followed.

# Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25

## Current situation

Under the ALN Act, LAs will be responsible for providing education and training for learners with ALN up to the age of 25. Most pupils attending special schools do so up until the age of 19. Many other pupils with SEN/ALN leave school at 16.

The post-16 workstream of the national ALN Transformation programme in Powys has started to plan for the future, through developing links with a range of providers. However, at this point, it is not clear what new provision will be needed for these learners after they leave school.

## Challenges caused by the current arrangements

- Nationally there is a lack of suitable provision for learners with SEN/ALN once they have left school
- The additional responsibility that is being put on LAs under the ALN Act is going to increase the workload of officers significantly
- The role of Careers Wales in relation to the placement of learners in independent specialist colleges is changing

## What improvements could be made through change

- There is a need for a comprehensive suite of support and/or provision for learners from 0 to 25
- This needs to be considered as part of Strategic Aim 2 of the Powys Transformation Strategy: Improving learner entitlement and experience for post-16 learners

## Proposals for immediate consideration

- Work with college/s, work-based learning providers and schools to ensure that they provide a suitable range of appropriate provision for learners with SEN/ALN
- This will include relevant course and qualifications, as well as support for learners' wellbeing and SEN/ALN

### Planned impact

- Learners with SEN/ALN will have access to an appropriate range of post-16 provision
- They will be able to continue their education up to 25 where appropriate
- The provision they access will prepare them well for future life and, where possible, employment

### What would be the process for implementing this proposal?

- Carry out a mapping exercise of the provision that is currently available in Powys
- Carry out an audit of where post-16 learners with SEN/ALN continue their education after leaving school – this will include independent specialist colleges currently funded by Welsh Government
- Identify gaps in provision
- Work with relevant providers, including colleges

### Process for consultation

Not yet known

## After engagement, what next?

After the engagement, this document will be updated to reflect the feedback received during the engagement period. These will be considered by Cabinet in October 2020.

## How to respond

To respond to the engagement you can:

- Respond to our questionnaire either online at:  
**[www.powys.gov.uk/transformingeducation](http://www.powys.gov.uk/transformingeducation)**

- Sending us a written response either via email or post.

**[school.organisation@powys.gov.uk](mailto:school.organisation@powys.gov.uk)**

**School Transformation Team, Schools Service, County Hall, Spa Road East, Llandrindod Wells, LD1 5LG**

Please respond by **22nd July 2020**





# Engagement Feedback Report

August 2020

V1.2



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## 1. Background and Introduction

In April 2020, the Council approved the 'Strategy for Transforming Education in Powys 2020-2030'. This Strategy sets out ambitious plans to transform the Powys schools' infrastructure over the next 10 years.

The Strategy sets out a number of Strategic Aims and Objectives which will shape the Council's work to transform the Powys education system over the coming years. The Strategy states that:

'The purpose of this aim (Strategic Aim 4) is to ensure that all schools are fully inclusive, educating pupils with a wide range of SEN/ALN. This will require all schools to have an inclusive ethos, a skilled workforce and buildings and resources that can support all learners. For learners with more complex needs, the aim will be to ensure that there is a range of specialist provision and support as close to home as is possible'.

The primary driver is to improve the educational experience for Powys learners, now and in the future. The project aims to reconfigure the provision for pupils with SEN/ALN in Powys.

To support this, an opportunity was provided for stakeholders to give their views on the draft document, 'The future of Special Educational Needs/Additional Learning Needs in Powys' that was agreed by cabinet in June 2020. This report provides a summary of the feedback received.

### 1.1 Methodology

The engagement period started on the 24<sup>th</sup> June 2020 and ended on the 22<sup>nd</sup> July 2020. A questionnaire was prepared which asked respondents for their views on the draft document 'The future of Special Educational Needs/Additional Learning Needs in Powys'. This questionnaire was available online on the Council's website throughout the engagement period. It was advertised via corporate communications and through all the council's media platforms

As well as responding via the questionnaire, respondents could submit written responses, either by e-mail or by post.

An 'easy read' version of the engagement document was also prepared, and published alongside the full version of the engagement document

### 1.2 Responses Received

A total of 82 individuals completed the engagement questionnaire in English.  
A total of 4 individuals completed the engagement questionnaire in Welsh.

In addition, 10 written responses were received to the engagement exercise.

## 2 Online Questionnaire

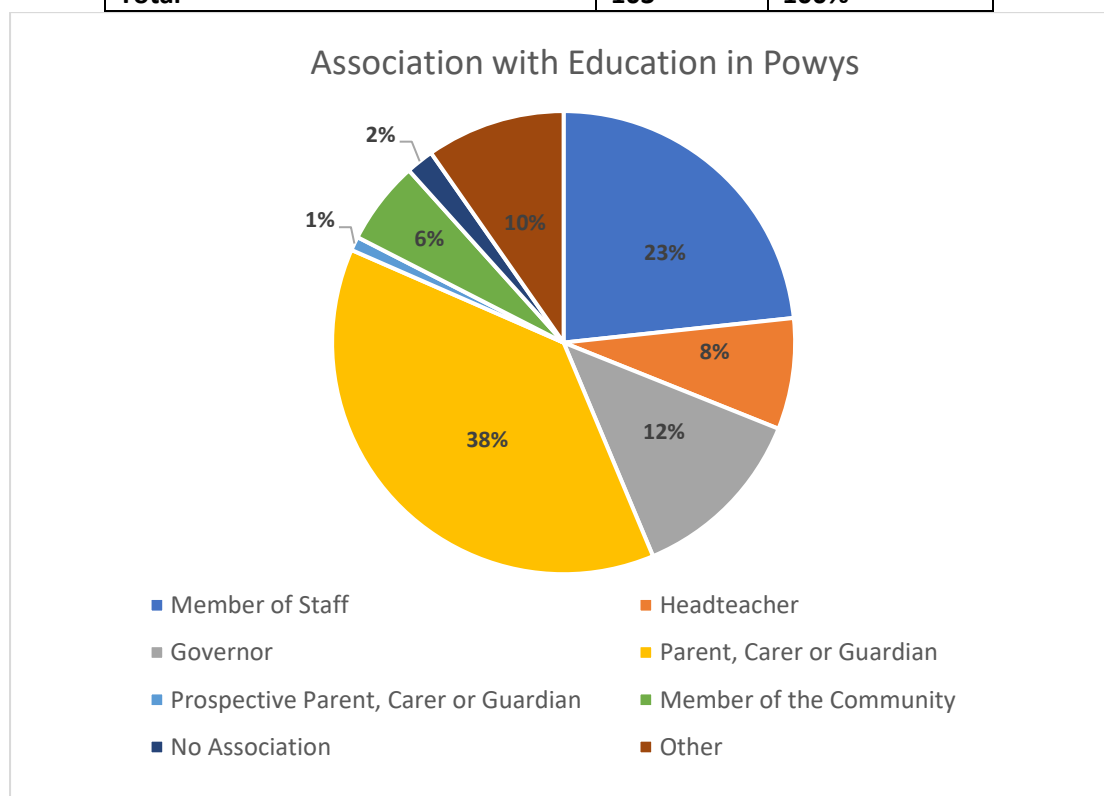
This section provides a summary of the responses received to the online questionnaire which was available during the engagement period.

### 2.1 Summary of Responses – Introduction

Respondents were asked to indicate how they are associated with education in Powys. 86 online questionnaires were completed. However, 103 individual responses were received to this question. This is higher than the number of questionnaires completed as some respondents indicated more than one association.

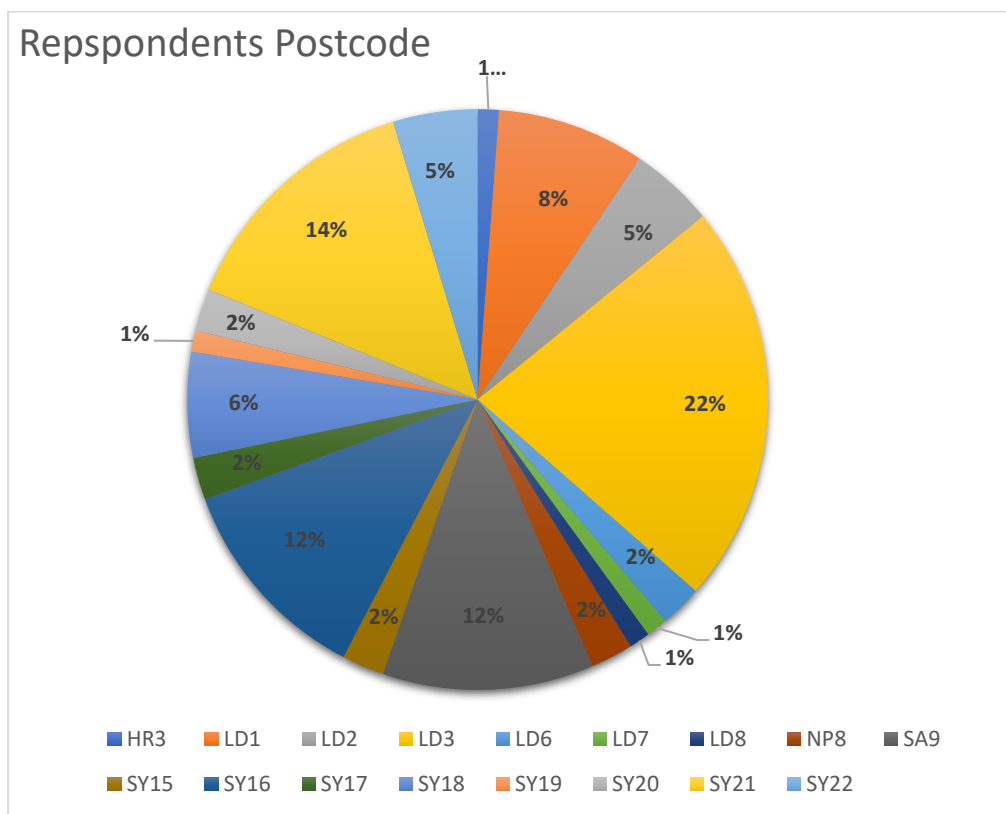
The responses received are as outlined in the table below.

| Association with education in Powys   | Number of responses | % of total responses to questionnaire |
|---------------------------------------|---------------------|---------------------------------------|
| Member of Staff                       | 24                  | 23.3%                                 |
| Headteacher                           | 8                   | 7.8%                                  |
| Governor                              | 13                  | 12.6%                                 |
| Parent, Carer or Guardian             | 39                  | 37.9%                                 |
| Prospective Parent, Carer or Guardian | 1                   | 1.0%                                  |
| Member of the Community               | 6                   | 5.8%                                  |
| No Association                        | 2                   | 1.9%                                  |
| Other                                 | 10                  | 9.7%                                  |
| <b>Total</b>                          | <b>103</b>          | <b>100%</b>                           |



Respondents were asked to provide their postcode. 86 online questionnaires were completed; 85 respondents gave their postcode. The postcodes provided were as follows:

| Postcode     | Area  | Number of responses | %             |
|--------------|---|---------------------|---------------|
| HR3          | West Hereford, Hay on Wye   | 1                   | 1.2%          |
| LD1          | Llandrindod Wells   | 7                   | 8.2%          |
| LD2          | Builth Wells, Llandrindod Wells                                     | 4                   | 4.7%          |
| LD3          | Brecon, Talgarth, Llandrindod Wells                                 | 19                  | 22.4%         |
| LD6          | Rhayader, Llandrindod Wells   | 2                   | 2.4%          |
| LD7          | Knighton, Llandrindod Wells   | 1                   | 1.2%          |
| LD8          | Presteigne, Llandrindod Wells                                       | 1                   | 1.2%          |
| NP8          | Crickhowell, Powys  | 2                   | 2.4%          |
| SA9          | Abercraf, Cwmtwrch, Ystalyfera, Ystradgynlais, Neath Port Talbot    | 10                  | 11.8%         |
| SY15         | Montgomery, Powys   | 2                   | 2.4%          |
| SY16         | Newtown, Powys  | 10                  | 11.8%         |
| SY17         | Caersws, Llandinam, Powys   | 2                   | 2.4%          |
| SY18         | Llanidloes, Powys   | 5                   | 5.9%          |
| SY19         | Llanbrynmair, Powys   | 1                   | 1.2%          |
| SY20         | Machynlleth, Powys  | 2                   | 2.4%          |
| SY21         | Welshpool, Powys  | 12                  | 14.1%         |
| SY22         | Llanfechain, Llanfyllin, Llansantffraid, Llanymynech, Meifod, Powys | 4                   | 4.7%          |
| <b>Total</b> |   | <b>85</b>           | <b>100.0%</b> |



## 2.2 Summary of Responses to Engagement Exercise

Respondents were asked to give their views on the document 'The future of Special Educational Needs/Additional Learning Needs in Powys'.

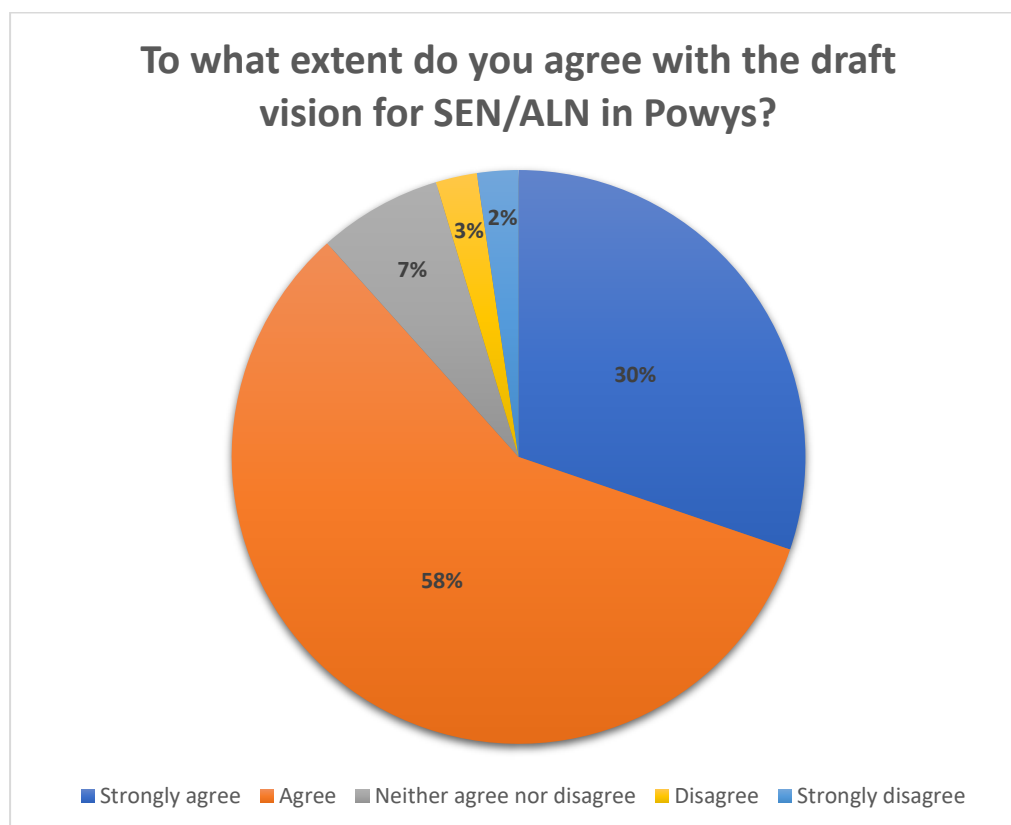
A summary of the responses received to each question is provided below.

### Vision for SEN/ALN in Powys

Respondents were asked to what extent they agreed with the draft vision for SEN/ALN in Powys which was included in the 'The future of Special Educational Needs/Additional Learning Needs in Powys' document.

86 respondents answered this question. Their responses were as follows:

| To what extent do you agree with the draft vision for SEN/ALN in Powys? | Number of responses | %             |
|---|---------------------|---------------|
| Strongly agree  | 26                  | 30.2%         |
| Agree   | 50                  | 58.1%         |
| Neither agree nor disagree  | 6                   | 7.0%          |
| Disagree  | 2                   | 2.3%          |
| Strongly disagree   | 2                   | 2.3%          |
| <b>Total</b>  | <b>86</b>           | <b>100.0%</b> |



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Overall, **88%** of respondents agreed or strongly agreed with the draft vision. **5%** of respondents disagreed or strongly disagreed, with the remaining **7%** stating that they neither agreed nor disagreed.

Respondents were asked to suggest any amendments which they thought the Council should consider.

#### Summary of comments and queries

Comments were received from 27 respondents, with most comments in support of the vision for SEN/ALN/. Most respondents agreed that the objectives set out within the vision are valid. One comment noted that *'It is pleasing to see Powys's desire and ambition to transform the SEN/ALN education sector for the better in response to the Additional Learning Needs and Education Tribunal Act'*. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- Welsh medium provision for pupils with SEN/ALN including transport
- Equity of provision across the authority and financial support to share best practice
- Training, including financial support, for teaching and support staff in mainstream schools
- Early identification and support for pre-school children
- The length of time taken for assessments and diagnoses of pupils with moderate learning difficulties (MLD) and autistic spectrum disorder (ASD) and those with mental health, emotional and behavioural difficulties
- Support from Child and Adolescent Mental Health Services (CAMHS)
- Funding for pupils with SEN/ALN in mainstream schools
- Revision of the support for 'Out of County' and 'In County' placements
- Expanded specialist provision through special schools and satellites
- Improved provision for nurture and support for pupils with behaviour difficulties and their families
- Improved support, including transport, for pupils with physical and sensory impairment
- Improved training and qualifications for Additional Learning Needs Co-ordinators (ALNCOs)

#### Current issues relating to SEN/ALN provision in Powys

The draft 'The future of Special Educational Needs/Additional Learning Needs in Powys' document states that the current issues facing Powys at the moment include:

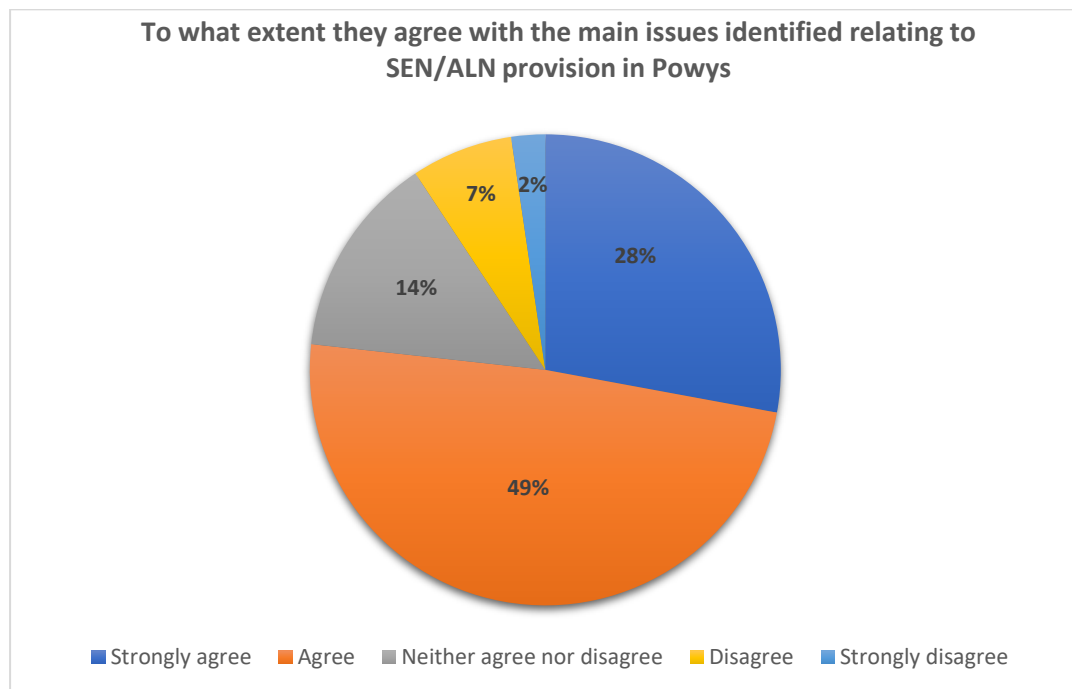
- Depending on where pupils live, they have access to a different quality and type of provision

- Some pupils have to travel long distances to reach a provision that meets their needs
- Access to provision through the medium of Welsh is inconsistent. Currently, not all pupils are educated in the setting that meets their needs best
- There are pupils in special schools who could be taught in mainstream classes or specialist centres
- There are pupils in specialist centres who should be in mainstream classes
- There are pupils in the PRU who, with the right type of provision and support, could attend mainstream schools
- Mainstream schools do not all have the facilities or expertise required to support pupils with a wide range of learning need

Respondents were asked to what extent they agree with the main issues identified relating to SEN/ALN provision in Powys

86 respondents answered this question. Their responses were as follows:

| To what extent they agree with the main issues identified relating to SEN/ALN provision in Powys | Number of responses | %             |
|--|---------------------|---------------|
| Strongly agree   | 24                  | 27.9%         |
| Agree  | 42                  | 48.8%         |
| Neither agree nor disagree   | 12                  | 14.0%         |
| Disagree   | 6                   | 7.0%          |
| Strongly disagree  | 2                   | 2.3%          |
| <b>Total</b>   | <b>86</b>           | <b>100.0%</b> |



Overall, **77%** of respondents agreed or strongly agreed with the issues identified. **9%** of respondents disagreed or strongly disagreed, with the remaining **14%** stating that they neither agreed nor disagreed.

Respondents were asked to suggest any amendments which they thought the Council should consider.

#### Summary of comments and queries

Comments were received from 32 respondents, with many in agreement with the issues identified with the current provision in Powys. For example, some respondents noted that *'More specialist support should be available locally'* and *'We agree with the aim to ensure all pupils have the optimal level of education closer to home'*. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

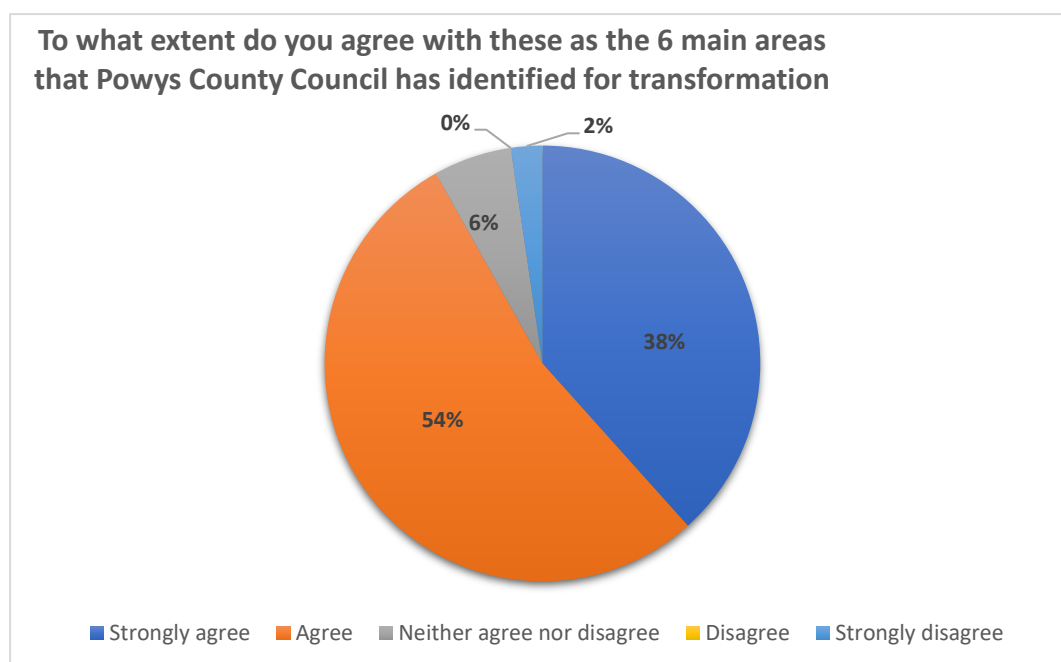
- Many pupils with SEN/ALN should not be educated in mainstream schools and need specialist provision
- Pupils with MLD need to be in specialist centres
- More trained staff are needed to support pupils in mainstream schools and other settings
- Satellites and other settings need to be appropriately sized and well equipped
- The need to consider the vulnerability of pupils with SEN/ALN and how this would be managed in mainstream schools
- Early intervention at pre-school level should be available before they start school
- Need to refine the entry and exit criteria for special schools and share this with parents
- Moving pupils from special schools into mainstream education would be traumatic
- Ensure that senior leaders in the authority share the same vision
- Share best practice across special and mainstream schools
- Ensure that the authority listens to the wishes of parents
- Improve the provision for pupils with emotional, social and behavioural difficulties
- Improve the support from specialist services, including health
- Not enough early intervention for younger pupils
- Ensure that pupils with autistic spectrum disorder (ASD) can access mainstream but with support
- Address cultural issues and attitudes
- Seek the views of children and young people
- The system needs to have built in flexibility so that the package of support can be bespoke to the individual and the support for children and families can be closer to home.
- Good quality facilities that include short and medium-term respite care
- Ensure that there are enough Educational Psychologists across Powys
- Improve ALN support in secondary schools, especially at post-16
- Improve the understanding of senior leaders and governors of schools and settings with regard to ALN

## Areas of Transformation

Respondents were asked to what extent do you agree with these as the 6 main areas that Powys County Council has identified for transformation, as outlined in the 'future of Special Educational/Additional Learning Needs in Powys' document.

86 respondents answered this question. Their responses were as follows:

| To what extent do you agree with these as the 6 main areas that Powys County Council has identified for transformation | Number of responses | %           |
|--|---------------------|-------------|
| Strongly agree   | 33                  | 38.4%       |
| Agree  | 46                  | 53.5%       |
| Neither agree nor disagree   | 5                   | 5.8%        |
| Disagree   | 0                   | 0.0%        |
| Strongly disagree  | 2                   | 2.3%        |
| <b>Total</b>   | <b>86</b>           | <b>100%</b> |



Overall, **92%** of respondents agreed or strongly agreed with the 6 main areas that Powys County Council has identified for transformation. **2%** of respondents strongly disagreed, with the remaining **6%** stating that they neither agreed nor disagreed.

Respondents were asked to suggest any amendments which they thought the Council should consider.

### Summary of comments and queries

Comments were received from 26 respondents, with many in agreement with the areas identified in the transformation programme. For example, some respondents noted that



*'There is a definite need for behaviour provision in foundation phase and KS2' and 'I strongly agree with the need for Primary Specific support with BESD'. 'The report identifies a satellite model within a mainstream school, which would enable pupils to access the support they require nearer to home as well as improving awareness and empathy of all pupils of pupils of all abilities. To hide them away in specialist units does not help us build a more empathetic and supporting society'.*

However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- Greater emphasis on assessment, diagnosis and intervention to access the right level of support
- The need to understand the support form health as is there is a crossover here
- Early interventions and assessment for pre-schools pupils
- Improve links with Social Services, the NHS and parents
- Welsh medium provision
- High quality training for all staff
- Support for pupils with SEN/ALN during exam time
- Provision for post 16, alternative learning, apprenticeships and support for employment
- Support for the families of pupils with SEN/ALN who speak other languages
- Challenge for pupils with specials needs
- Early support / assessment should begin from birth of a child – this needs to be incorporated into the planning

Respondents were asked to suggest any amendments which they thought the Council should consider.

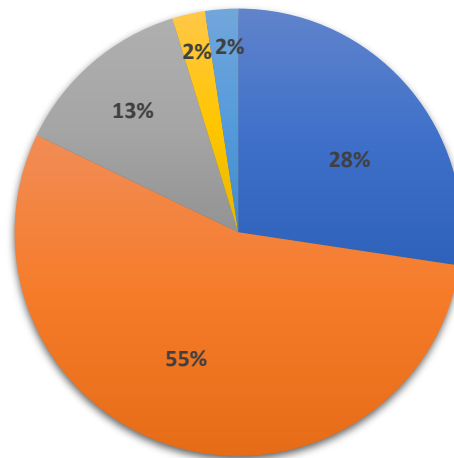
### **Area of Transformation 1: Mainstream**

Respondents were asked to what extent they agree with the ideas set out under Area of Transformation 1: Mainstream

84 respondents answered this question. Their responses were as follows:

| <b>To what extent do you agree with the ideas set out under Area of Transformation 1: Mainstream?</b> | <b>Number of responses</b> | <b>%</b>    |
|---|----------------------------|-------------|
| Strongly agree  | 23                         | 28%         |
| Agree   | 46                         | 55%         |
| Neither agree nor disagree  | 11                         | 13%         |
| Disagree  | 2                          | 2%          |
| Strongly disagree   | 2                          | 2%          |
| <b>Total</b>  | <b>84</b>                  | <b>100%</b> |

**To what extent do you agree with the ideas set out under Area of Transformation 1: Mainstream?**



■ Strongly agree ■ Agree ■ Neither agree nor disagree ■ Disagree ■ Strongly disagree

Overall, **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 1: Mainstream. **4%** of respondents disagreed or strongly disagreed, with the remaining **13%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

Summary of comments and queries

Comments were received from 18 respondents, with most in agreement with the suggestions for the education of pupils with SEN/ALN in mainstream education. For example, some respondents noted that *'Additional training for teachers and support workers in mainstream will allow enable children with ND conditions to remain in mainstream and in local area'*. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- Training with funding for staff in mainstream schools
- Changing the mindset of some teachers in mainstream schools to be more inclusive
- Support from quality outdoor agencies should be available for all mainstream schools
- Wellbeing centres in every school to support pupils' mental health
- The use of programmes such as ELSA and Incredible Years need to be in every school
- An audit of teachers' skills needs to be carried out to see if they have the skills to meet the pupils ALN
- Improve provision for BESD
- Investing in all schools to ensure that they are fully accessible and adaptable to children and young people

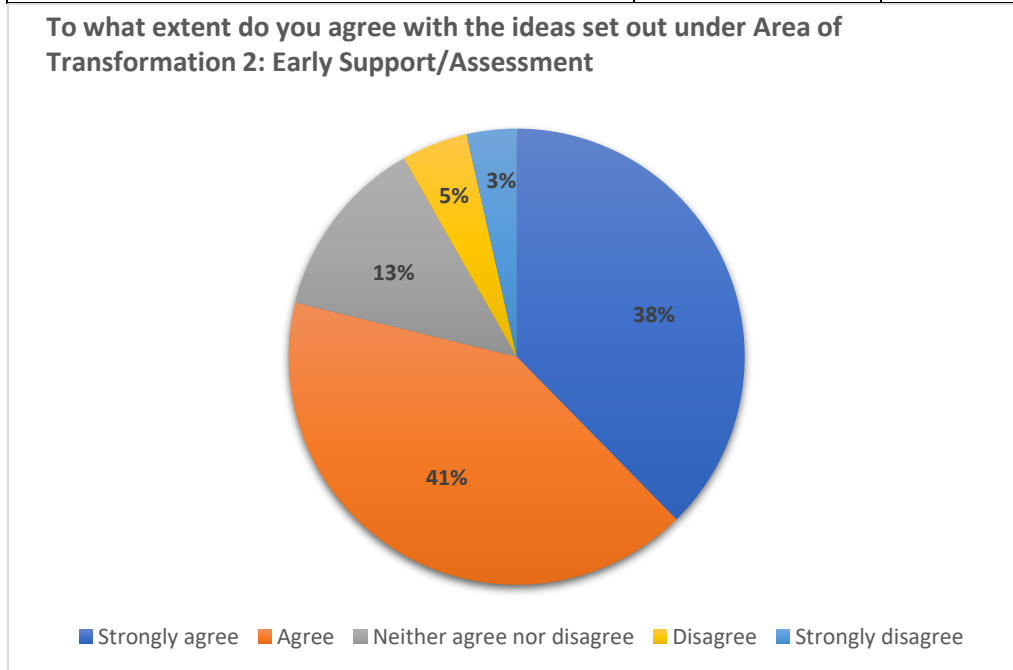
- Ensure that new schools that are built have wellbeing centres and support for pupils with SEN/ALN

Area of Transformation 2: Early Support/Assessment

Respondents were asked to what extent do you agree with the ideas set out under Area of Transformation 2: Early Support/Assessment

respondents answered this question. Their responses were as follows:

| To what extent do you agree with the ideas set out under Area of Transformation 2: Early Support/Assessment | Number of responses | %           |
|---|---------------------|-------------|
| Strongly agree  | 32                  | 37.6%       |
| Agree   | 35                  | 41.2%       |
| Neither agree nor disagree  | 11                  | 12.9%       |
| Disagree  | 4                   | 4.7%        |
| Strongly disagree   | 3                   | 3.5%        |
| <b>Total</b>  | <b>85</b>           | <b>100%</b> |



Overall, **79%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 2: Early Year Support/Assessment. **8%** of respondents disagreed or strongly disagreed, with the remaining **13%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

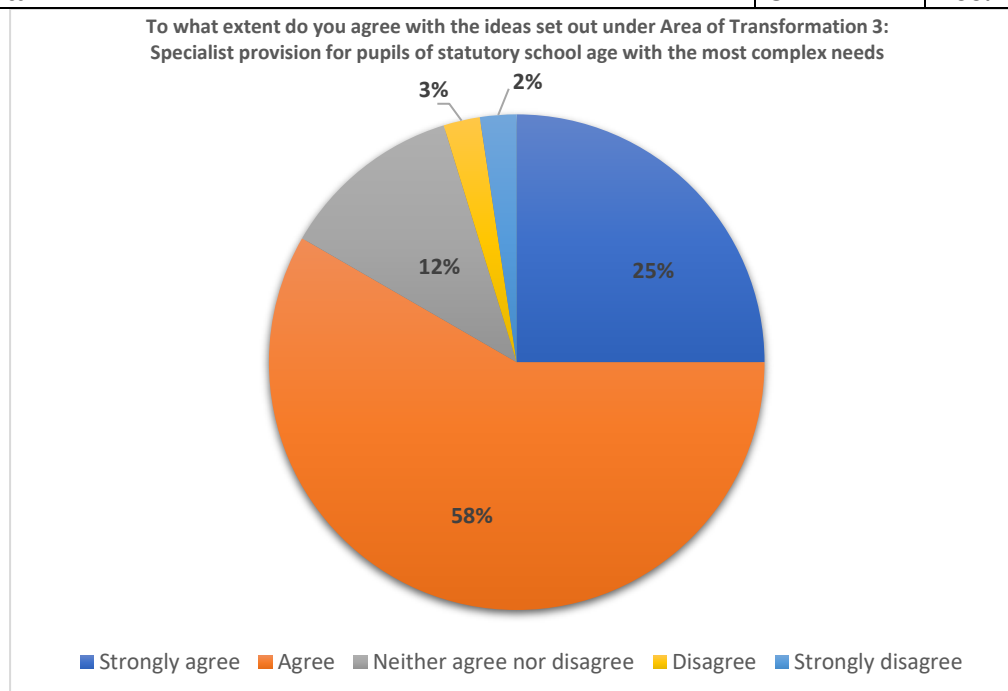
### Summary of comments and queries

Comments were received from 15 respondents, with most in agreement with the suggestions for early support and assessment. For example, a respondent noted that *'This is vital! I have a child that benefited from early intervention that is now in high school. Beginning the diagnosis process early on not only helps the child but will also help support the needs of the family around them'*. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- The pre-school assessment units do not work for the majority of pre-schoolers and does not reflect the new model for transforming SEN/ALN education.
- ALNCOs for pre-schools need support and guidance.
- The graduated response should begin at pre-school.
- Family support is needed at this stage.
- Training and support for play therapy, mental health, Adverse Childhood Experiences (ACEs) and Trauma Informed Schools UK (TISC UK) and Incredible Years.
- Ensuring support and training for setting staff.
- Multi-agency working to benefit the child, including liaison with health colleagues to support the training of support workers to undertake health interventions in mainstream schools. Closer links with CAMHS and Team around the Family (TAF).
- Improve the time taken from assessment/diagnosis to support provided.
- Strengthen the use of pre-school assessment so that it is equal and fair across Powys.
- Improved support for younger children with physical and sensory impairment.
- Establish clear assessments and destinations with clear pathways for parents to understand the options.

Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs

| To what extent do you agree with the ideas set out under Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs | Number of responses | %           |
|--|---------------------|-------------|
| Strongly agree   | 21                  | 25.0%       |
| Agree  | 49                  | 58.3%       |
| Neither agree nor disagree   | 10                  | 11.9%       |
| Disagree   | 2                   | 2.4%        |
| Strongly disagree  | 2                   | 2.4%        |
| <b>Total</b>   | <b>84</b>           | <b>100%</b> |



Overall, **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs. **5%** of respondents disagreed or strongly disagreed, with the remaining **12%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

Summary of comments and queries

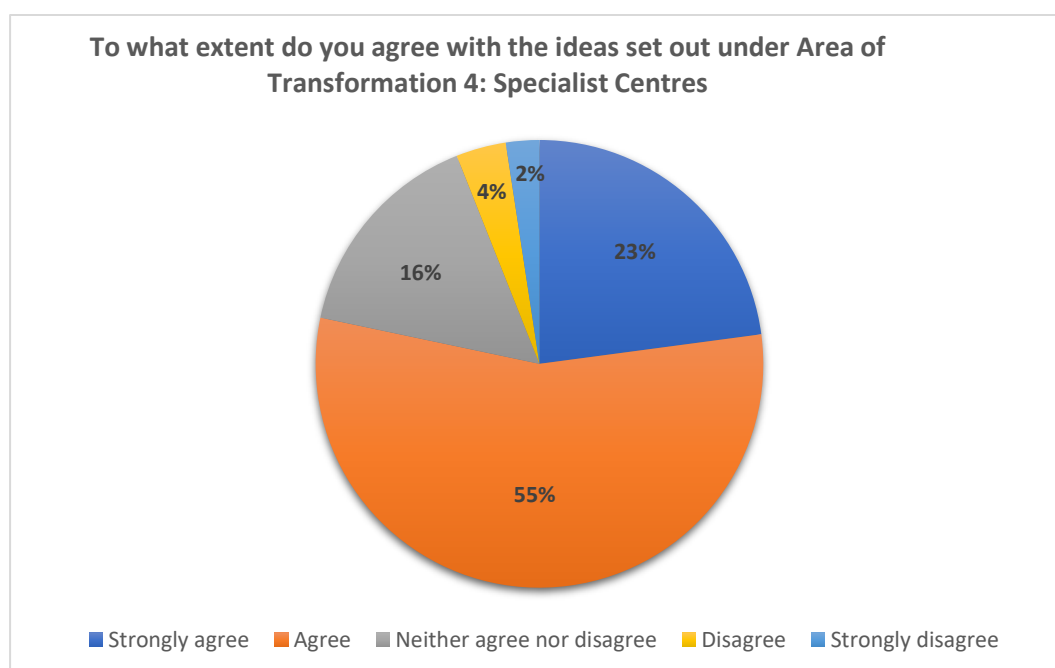
Comments were received from 17 respondents, with most in agreement with the suggestions for the provision for children and young people with complex needs. For example, respondents noted that *'Distance at the moment is an issue. I would support this if the appropriate resources, including staffing were put in place'* and *'The special schools are amazing hubs for expertise, multi-professional working, a huge resource for multi-*

*professional training, especially now virtual*'. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- The need for a range of specialist provision, including ASD.
- More training and specialist teachers needed in special schools.
- Balancing pupil voice with the view of parents.
- Support for the wellbeing of staff and pupils in special schools.
- Satellite centres can accommodate children who have to travel further distances
- Provision for satellites for pupils with behavioural emotional and social difficulties (BESD).
- New buildings for pupils with complex needs, especially in the north of Powys.
- Ensure that all clusters have access to specialist provision.
- Funding required to maintain the satellite provision and having access to the same equipment, for example sensory room, audio equipment or modified playground equipment.
- The age range in satellites needs to be considered.
- Reducing out of county placements.

#### Area of Transformation 4: Specialist Centres

| To what extent do you agree with the ideas set out under Area of Transformation 4: Specialist Centres | Number of responses | %           |
|---|---------------------|-------------|
| Strongly agree  | 19                  | 22.9%       |
| Agree   | 46                  | 55.4%       |
| Neither agree nor disagree  | 13                  | 15.7%       |
| Disagree  | 3                   | 3.6%        |
| Strongly disagree   | 2                   | 2.4%        |
| <b>Total</b>  | <b>83</b>           | <b>100%</b> |



Overall **78%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 4: Specialist Centres. **6%** of respondents disagreed or strongly disagreed, with the remaining **16%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

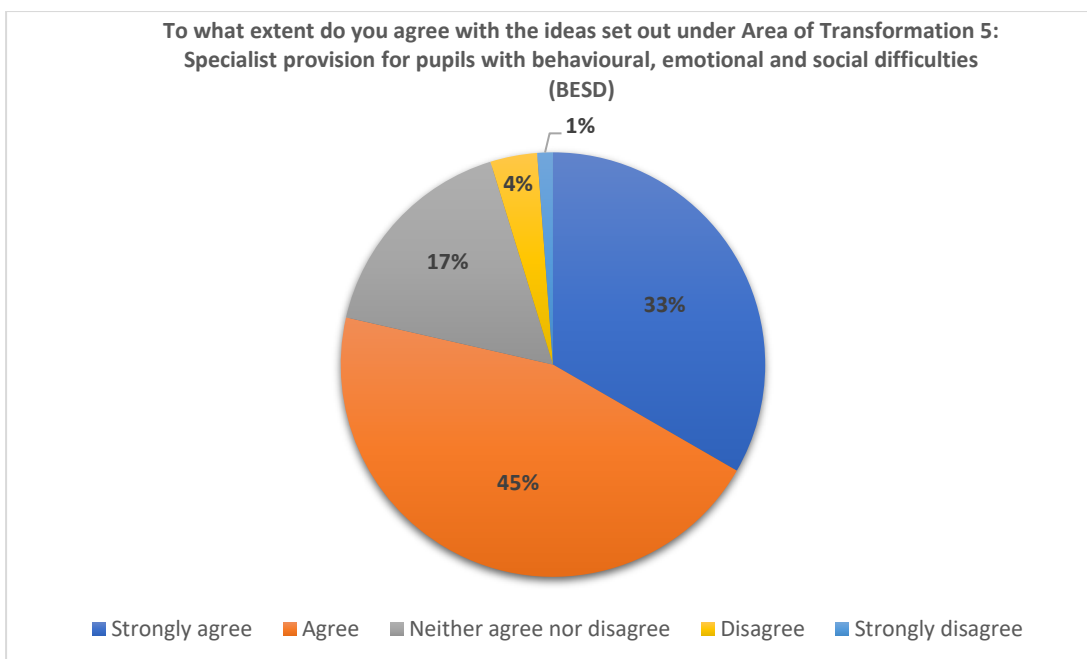
Summary of comments and queries

Comments were received from 9 respondents, with most in agreement with the suggestions for the provision for children and young people with complex needs. For example, respondents noted that *‘Specialist centres can and do work, they have been very successful in the Ystradgynlais area’* however *‘The purpose of specialist centres has never been clear. There needs to be equitable access to pupils from ALL schools’*. There were a few queries raised which the new strategy for SEN/ALN will need to address:

- Entry criteria to specialist centres or satellites.
- Training for specialist staff across Powys to support pupils with SEN/ALN.
- Early assessment and diagnosis of pupils with complex needs.
- The regular monitoring and evaluation to ensure the system is working effectively.
- Transition at all stages, including into school, primary to secondary and post-16.
- Specialist centres provide valuable provision which needs to be shared.
- Consultation with governors is needed regarding any change to specialist centre provision.
- Support for pupils with speech and language difficulties.
- The potential vulnerabilities of pupils with SEN/ALN and how this is managed in mainstream classes.

Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD)

| <b>To what extent do you agree with the ideas set out under Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD)</b> | <b>Number of responses</b> | <b>%</b>    |
|--|----------------------------|-------------|
| Strongly agree   | 28                         | 33.3%       |
| Agree  | 38                         | 45.2%       |
| Neither agree nor disagree   | 14                         | 16.7%       |
| Disagree   | 3                          | 3.6%        |
| Strongly disagree  | 1                          | 1.2%        |
| <b>Total</b>   | <b>84</b>                  | <b>100%</b> |



Overall **78%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD), **5%** of respondents disagreed or strongly disagreed, with the remaining **17%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

#### Summary of comments and queries

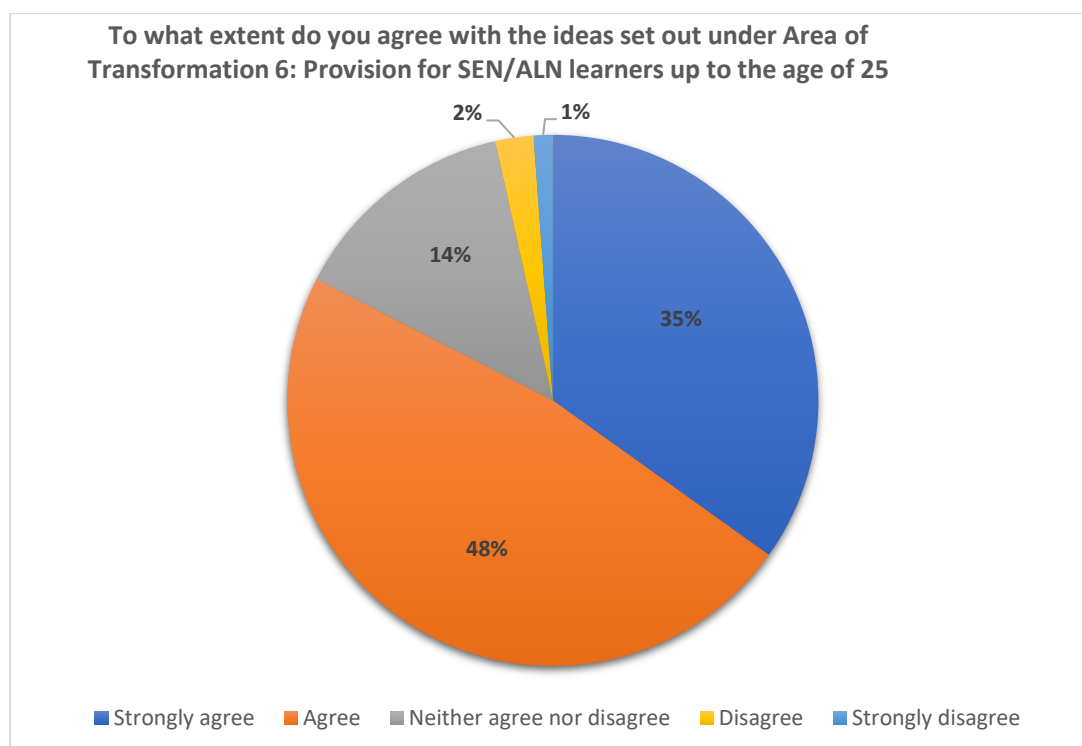
Comments were received from 15 respondents, with most in agreement with the suggestions for the provision for children and young people with BESD. For example, respondents noted that *'this is the most difficult thing that mainstream teachers face. When it is clear that a child is not coping in mainstream education and that the graduated response isn't working there needs to be something in place to help these children'* and *'This is an area where early intervention will have the biggest success therefore early assessments and intervention is key'*. However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- The need for equity of provision for pupils with BESD across Powys.
- Early identification and intervention.
- Training and resources for all schools.
- Flexibility around the six weeks attendance at the pupil referral unit (PRU)
- Promotion of positive behaviour strategies at a younger age and support for families.
- Multi-agency support.
- Consistent approached across education, health and social services.
- Implementing the Emotional health and wellbeing strategy in Powys.



Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25

| To what extent do you agree with the ideas set out under Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25 | Number of responses | %           |
|---|---------------------|-------------|
| Strongly agree  | 30                  | 34.9%       |
| Agree   | 41                  | 47.7%       |
| Neither agree nor disagree  | 12                  | 14.0%       |
| Disagree  | 2                   | 2.3%        |
| Strongly disagree   | 1                   | 1.2%        |
| <b>Total</b>  | <b>86</b>           | <b>100%</b> |



Overall **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25, **3%** of respondents disagreed or strongly disagreed, with the remaining **14%** stating that they neither agreed nor disagreed

Respondents were asked to suggest any amendments which they thought the Council should consider.

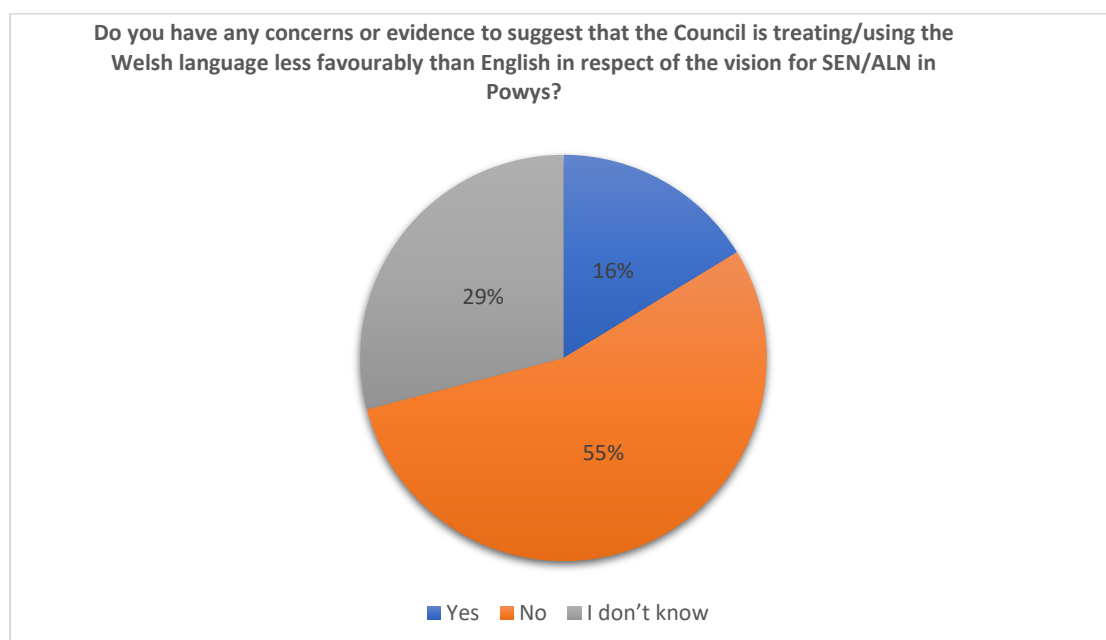
Summary of comments and queries

Comments were received from 15 respondents, with most in agreement with the suggestions for the provision for learners up to the age of 25. For example, respondents noted that *'Children and young people with SEN should be able to access further education/ on the job training opportunities that will support them into employment.* However, there were a few queries raised which the new strategy for SEN/ALN will need to address:

- Welsh Government strategy needs to inform the work in Powys.
- Support pupils with SEN/ALN into adulthood and preparing them for the work of work.
- Support for pupils with SEN/ALN at college, including small group and one to one support.
- Virtual packages of training to support individualised learning.
- Individual education and development plans for post-16.
- Barriers to learning and the correlation between wellbeing and achievement.
- Support for young people at university, including wellbeing support.
- Provision for young adults to learn about daily living (cooking, cleaning, managing their own budgets), being more independent in the community (learning how to catch a bus to various places on their own, going shopping and so on), leisure activities, or work.
- Provision for disabled children and young people should be closer to home.

#### Welsh language and the vision for SEN/ALN in Powys

| Do you have any concerns or evidence to suggest that the Council is treating/using the Welsh language less favourably than English in respect of the vision for SEN/ALN in Powys? | Number of responses | %             |
|---|---------------------|---------------|
| Yes   | 14                  | 16.3%         |
| No  | 47                  | 54.7%         |
| I don't know  | 25                  | 29.1%         |
| <b>Total</b>  | <b>86</b>           | <b>100.0%</b> |



Comments were received from 13 respondents, for example:

*'As a Welsh speaker I know there are a very few Welsh speaking people involved in ALN in Powys. With that in mind however I do feel that care must be taken to look at what is best for the child when it comes to using Welsh language.'*

*'The document does confirm that there is very little provision for children with SEN/ALN to be taught through the medium of Welsh in Powys.'*

*'You correctly state that the aim is to ensure that all learners have access to the same quality of provision through their language of choice, but in our view you have not stated what are the key actions required to ensure that this aim is met'.*

*'Mae angen gwneud gwaith helaeth i gynllunio at y dyfodol wrth ystyried lleoliad unedau ADY cynradd ac uwchradd o fewn ysgolion y sir. Rhaid iddynt fod mewn lleoliad canolog fel na fydd teuluoedd a phlant yn profi anfantaish wrth geisio cael mynediad atynt. Rhaid iddynt gael staff cwbl ddwyieithog sydd wedi'u hyfforddi'n drwyadl iawn ar ADY'. (Extensive work is required to plan ahead when considering the location of primary and secondary ALN units within the county's schools. They must be in a central location so that families and children do not experience disadvantage when trying to access them. They must have fully bilingual staff who are very thoroughly trained on ALN'.*

#### Other comments

Respondents were asked Do you have any other comments on The Future of SEN/ALN in Powys? Forty-seven respondents answered this question. All views will be carefully considered. Several examples are included here:

*'I worry about the increased pressure that will be placed on individual schools where a considerably higher amount of learners with ALN will be attending instead of receiving specialised support. Currently funding will not support this approach. I especially worry about the pressures on School SENCos particularly in larger schools.'*

*'As a parent of a pupil with MLD, and A serious medical condition, I am happy to see that the council are taking steps to strengthen SEN/ALN in Powys. I for 1 cannot thank our mainstream school enough for the help they have given my child and how the specialist unit has helped his education and confidence over the past 2 years. I really hope that Powys take this seriously and implement all that they hope, so that our children have the best chance at a good education and bright future.'*

*'I am concerned that the vulnerability of children with SEN/ALN in mainstream secondary schools, has not been taken into account.'*

*'Many staff feel unequipped to support pupils with ever-growing ALN needs and at times, require outside support. Providing a local LA ALN support would provide teachers and support staff with support themselves as well as a local advisor that liaises with their area/cluster schools and can get to know children with ALN.'*

*'I welcome the county wide learning programme , and the addition of training for all teachers in aspects of ASD , dyslexia , communication and behavioural difficulties , disability inclusion training.'*

*'I think it is so important to support all children reach their full potential. It is a brilliant proposal. I hope the end result will support children and adults and be possible for overworked staff to carry out.'*

*'I applaud the work done so far, and hope that the vision will be realised. One thing that will be key is in upskilling and further training both ALNCos and Tas (teaching assistants). Some mainstream schools are much better prepared than others to cope with ACE children, and those presenting with BESD. There persists, even in some special schools, an idea that children need to learn in the way that they teach! Some school buildings will need re-imagining to accommodate the need for safe spaces. Governing bodies need to be brought on board with what we are trying to achieve; there is a tendency to believe that every change is motivated by a need to save money. The governor briefings that featured the ALN transformation were among the best attended and could usefully be repeated. Relations between the authority and governors are the most positive they have been in years, mostly because it feels that you are talking to us, and actually want us involved in co-producing the vision for education in Powys.'*

### **Next Steps**

- Information from this engagement exercise will be used to inform an SEN/ALN strategy for Powys
- The local authority will work with headteachers and other stakeholders to develop proposals in relation to the six areas identified
- As we move forward with the Transforming Education programme, SEN/ALN proposals will be integral to the other workstreams i.e. All-age schools, Welsh medium and Post-16

## Appendix A – Equalities Information

Respondents that completed the online survey were also to respond to a number of equalities questions. The responses provided are outlined below. This includes the responses provided by all respondents, including pupils.

| What is your gender                    | Number of responses | %             |
|--|---------------------|---------------|
| Male                                   | 8                   | 9.4%          |
| Female                                 | 72                  | 85.0%         |
| Gender Fluid/Non-binary/Gender neutral | 0                   | 0.0%          |
| Prefer not to say                      | 5                   | 5.6%          |
| <b>Total</b>                           | <b>85</b>           | <b>100.0%</b> |

| Is your gender the same now as when assigned at birth? | Number of responses | %             |
|--|---------------------|---------------|
| Yes  | 83                  | 97.5%         |
| No   | 0                   | 0.0%          |
| Prefer not to say                                      | 3                   | 2.5%          |
| <b>Total</b>   | <b>86</b>           | <b>100.0%</b> |

| How old are you?  | Number of responses | %             |
|-------------------|---------------------|---------------|
| Under 16          | 0                   | 0.0%          |
| 16-24             | 0                   | 0.0%          |
| 25-34             | 13                  | 15.1%         |
| 35-44             | 30                  | 34.9%         |
| 45-54             | 25                  | 29.0%         |
| 55-64             | 10                  | 11.6%         |
| 65-74             | 3                   | 3.4%          |
| 75-84             | 0                   | 0.0%          |
| 85 +              | 0                   | 0.0%          |
| Prefer not to say | 5                   | 6.0%          |
| <b>Total</b>      | <b>86</b>           | <b>100.0%</b> |

| Do you have a substantial and long term physical or mental health condition or illness that reduces your ability to carry out normal day to day activities? | Number of responses | %             |
|---|---------------------|---------------|
| Yes   | 2                   | 2.3%          |
| No  | 76                  | 88.3%         |
| Prefer not to say   | 8                   | 9.4%          |
| <b>Total</b>  | <b>86</b>           | <b>100.0%</b> |

| If you answered 'Yes' please indicate all that apply to you: | Number of responses | % of responses to this question |
|--|---------------------|---------------------------------|
| Hearing Impairment   | 0                   | 0.0%                            |
| Visual Impairment  | 0                   | 0.0%                            |

|                                   |          |               |
|-----------------------------------|----------|---------------|
| Speech Impairment                 | 0        | 0.0%          |
| Learning Disability or difficulty | 0        | 0.0%          |
| Mental Health Issues              | 1        | 50.0%         |
| Physical/Mobility Impairment      | 0        | 0.0%          |
| Other                             | 1        | 50.0%         |
| Prefer not to say                 | 0        | 0.0%          |
| <b>Total</b>                      | <b>2</b> | <b>100.0%</b> |

| How would you describe your national identity? | Number of responses | %             |
|--|---------------------|---------------|
| Welsh  | 43                  | 50.0%         |
| English  | 8                   | 9.3%          |
| Scottish                                       | 0                   | 0.0%          |
| Northern Irish                                 | 0                   | 0.0%          |
| British  | 26                  | 30.2%         |
| Irish  | 0                   | 0.0%          |
| Other  | 4                   | 4.6%          |
| Prefer not to say                              | 5                   | 5.8%          |
| <b>Total</b>                                   | <b>86</b>           | <b>100.0%</b> |

| What is your ethnic group? | Number of responses | %             |
|----------------------------|---------------------|---------------|
| White                      | 75                  | 87.2%         |
| Bangladeshi                | 0                   | 0.0%          |
| Black Caribbean            | 0                   | 0.0%          |
| Black Other                | 0                   | 0.0%          |
| Chinese                    | 0                   | 0.0%          |
| Mixed Ethnicity            | 1                   | 1.2%          |
| Gypsy/Traveller            | 0                   | 0.0%          |
| Irish Traveller            | 0                   | 0.0%          |
| Indian                     | 0                   | 0.0%          |
| Pakistani                  | 0                   | 0.0%          |
| Any Other ethnic group     | 1                   | 1.2%          |
| Prefer not to say          | 9                   | 10.4%         |
| <b>Total</b>               | <b>86</b>           | <b>100.0%</b> |

| What is your preferred language? | Number of responses | %             |
|----------------------------------|---------------------|---------------|
| Welsh                            | 6                   | 7.0%          |
| English                          | 75                  | 87.2%         |
| BSL - British Sign Language      | 0                   | 0.0%          |
| Other                            | 0                   | 0.0%          |
| Prefer not to say                | 5                   | 5.8%          |
| <b>Total</b>                     | <b>86</b>           | <b>100.0%</b> |

| Can you....?            | Yes | %     | No | %     |
|-------------------------|-----|-------|----|-------|
| Understand spoken Welsh | 48  | 55.8% | 38 | 44.2% |

|             |    |       |    |       |
|-------------|----|-------|----|-------|
| Speak Welsh | 43 | 50.0% | 43 | 50.0% |
| Read Welsh  | 32 | 37.2% | 54 | 62.8% |
| Write Welsh | 22 | 25.6% | 64 | 74.4% |

| What is your religion?        | Number of responses | %             |
|-------------------------------|---------------------|---------------|
| Christian (all denominations) | 40                  | 46.5%         |
| Buddhist                      | 0                   | 0.0%          |
| Hindu                         | 0                   | 0.0%          |
| Muslim                        | 0                   | 0.0%          |
| Sikh                          | 0                   | 0.0%          |
| Jewish                        | 0                   | 0.0%          |
| Atheist                       | 3                   | 3.5%          |
| No religion                   | 19                  | 22.0%         |
| Other                         | 4                   | 4.7%          |
| Prefer not to say             | 20                  | 23.3%         |
| <b>Total</b>                  | <b>86</b>           | <b>100.0%</b> |

| Are you?           | Number of responses | %             |
|--------------------|---------------------|---------------|
| Working full time  | 76                  | 88.4%         |
| Working part time  | 2                   | 2.3%          |
| Unemployed         | 1                   | 1.2%          |
| Still in education | 1                   | 1.2%          |
| Volunteering       | 0                   | 0.0%          |
| Retired            | 2                   | 2.4%          |
| Other              | 2                   | 2.4%          |
| Prefer not to say  | 2                   | 2.4%          |
| <b>Total</b>       | <b>86</b>           | <b>100.0%</b> |

| Which of the following best describes how you think of yourself? | Number of responses | %             |
|--|---------------------|---------------|
| Heterosexual/Straight  | 71                  | 82.6%         |
| Gay Man  | 0                   | 0.0%          |
| Gay Woman/Lesbian  | 0                   | 0.0%          |
| Bisexual   | 1                   | 1.2%          |
| Other  | 0                   | 0.0%          |
| Prefer not to say  | 14                  | 16.2%         |
| <b>Total</b>   | <b>86</b>           | <b>100.0%</b> |

| Which of the following best describes your partnership status? | Number of responses | %     |
|--|---------------------|-------|
| Single   | 8                   | 9.3%  |
| Married  | 49                  | 57.0% |
| Co-habiting  | 7                   | 8.1%  |
| Separated  | 4                   | 4.7%  |
| Divorced   | 7                   | 8.1%  |

|                   |           |               |
|-------------------|-----------|---------------|
| Widowed           | 1         | 1.2%          |
| Civil Partnership | 0         | 0.0%          |
| Other             | 0         | 0.0%          |
| Prefer not to say | 10        | 11.6%         |
| <b>Total</b>      | <b>86</b> | <b>100.0%</b> |

| <b>Do you have dependants, or caring responsibilities for family members or other persons?</b> | <b>Number of responses</b> | <b>%</b>      |
|--|----------------------------|---------------|
| Yes  | 5                          | 5.8%          |
| No   | 81                         | 94.2%         |
| <b>Total</b>   | <b>86</b>                  | <b>100.0%</b> |

| <b>If yes, are your dependants or the people your look after...?</b> | <b>Number of responses</b> | <b>% of responses to this question</b> |
|--|----------------------------|--|
| A child or children  | 5                          | 100.0%                                 |
| A disabled person or persons   | 0                          | 0.0%                                   |
| An elderly person or persons   | 0                          | 0.0%                                   |
| <b>Total</b>   | <b>5</b>                   | <b>100.0%</b>                          |





## Learning and Skills Scrutiny Committee

### Scrutiny Observations to Cabinet on: 23-06-2020

The Learning and Skills Scrutiny Committee met on 15-06-2020 and considered the following documents:

- SEN – ALN Future Engagement

The Learning and Skills Scrutiny Committee thank the Portfolio Holder for Education and Property and officers for attending scrutiny.

#### Scrutiny make the following observations:

- Need for the engagement exercise to be as widely accessible as possible to ensure that groups outside school age (i.e. pre and post school age – 19 to 25) are able to engage
- Suggested that clerks to governing bodies be advised of the engagement as well as other bodies such as Mudiad Ysgolion Meithrin and other pre-school groups.
- Concern was expressed:
- that the Service had sufficient resource (both financial and staff) to undertake the engagement / later consultation and the implementation of the ALN – SEN Transformation.
- with regard to making school buildings / specialist centres more fit for purpose for the future, that capital funding was identified early enough for this to be in the main project rather than an add-on at a later date.
- that pupils were not disadvantaged in the short term where there were no immediate proposals for improvements to a school property.

#### Scrutiny was supportive of:

- the proposed training and upskilling of staff and Teaching Assistants as long as we do not also exclude those with experience from working within the service area. **(Scrutiny might wish to review progress on training in the future).**
- the review of Teaching Assistants and the sharing of good practice.
- The need for foundation level support for pupils' behavioural issues to that pupils come to school prepared to learn and pre-school multi agency support for families.
- Schools and specialist centres having a common suite of facilities which should be available in all buildings e.g. wellbeing centre.
- Need to ensure that the ALN – SEN workstream is integrated fully with other workstreams such as Welsh Language and Post 16. **(Scrutiny might wish to review progress with Welsh Language ALN – SEN provision in future).**

#### Scrutiny noted:

- that with the realignment of pupils between specialist centres and mainstream provision, that the funding for mainstream provision took account of this realignment.
- that the work on 19 to 25 ALN – SEN provision was in a very early stage and was a significant area of work. It was suggested that after the initial engagement the

Education Service might wish to undertake specific consultation on this single element due to its significance. **(Scrutiny might wish to also look at this workstream as a specific piece of scrutiny).**

- that the delegated ALN – SEN funding was being reviewed.

| Scrutiny's Recommendation  | Accept (plus Action and timescale)   |
|--|--|
| Need for the engagement exercise to be as widely accessible as possible especially to include pre-school and 19-25 age groups. | <p><b>Accept</b></p> <p>The engagement document will be available on the website from June 24<sup>th</sup>. We will make it clear that it is relevant to all involved with children and young people from the age of 0 to 25.</p> <p>A children and young people's version will be available.</p> <p>A further engagement exercise will be carried out with pupils with ALN when the schools reopen (depending on Covid 19 situation).</p> |
| That clerks to governing bodies and other organisations be advised of the engagement exercise                                  | <p><b>Accept</b></p> <p>The ALN team send out a monthly SEN/ALN update to schools.</p> <p>The June update includes information about this engagement exercise.</p> <p>A copy of this update will be sent to chairs and clerks of governing bodies.</p> <p>We will contact specific organisations such as SNAP Cymru to advise them of the engagement.</p>  |

| Scrutiny's Recommendation  | Partially Accept (plus Rationale and Action and timescale)   |
|--|--|
| 19 – 25 provision - that after the initial engagement the Education Service might wish to undertake specific consultation on this single element due to its significance | <p><b>Partially accept</b></p> <p>This area of work is not as well advanced as some of the other areas. It is likely that specific engagement and/or consultation will be required at a later date.</p> <p>Dependent on the number and quality of responses to the engagement exercise in relation to 19-25, we will determine what is required.</p> <p>We already have a post-16 working group looking at this area, through the Education Transformation. This group will be working with partners over the coming months.</p> |

In accordance with Rule 7.27.2 the Cabinet is asked to provide a written response to the scrutiny report, including an action plan where appropriate, as soon as possible or at the latest within 2 months of the date of the Cabinet meeting i.e. by 23-08-2020.

Membership of the Learning and Skills Scrutiny Group / Committee on 15-06-2020:  
County Councillors:

P Roberts, J Berriman, L Roberts, E Roderick, G Thomas, K Laurie-Parry, S Davies  
A Davies, S. Davies, G Robson (Co-opted Members)

Mae'r dudalen hon wedi'i gadael yn wag yn fwriadol



The Future of Special Educational  
Needs/Additional Learning Needs in Powys

**Proposed Strategy**  
**September 2020**

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# Foreword

Over the last 8 months we have had significant engagement with parents, learners, school staff and others to help inform the re-shaping and transformation of the educational provision for children and young people in Powys.

This engagement has now focused our activity on 4 key work streams as we plan for the future:

- The provision of primary and secondary mainstream education, and the need for significant investment to make our facilities fit for delivering a broad 21st century curriculum for all of our learners
- The need to transform our provision for post-16 learners
- The provision needed to provide equity for learners studying in Welsh, improving progression and accessibility
- The need to transform our provision for learners who need additional support, usually defined as learners with special educational needs (SEN) or additional learning needs (ALN).

We hope to spend £350m on the Transformation programme in partnership with Welsh Government, and our intention is that we get it right.

In line with changes in legislation, the LA will be responsible for children and young people with additional learning needs from 0 to 25.

This document is an important development for the final workstream -provision for learners with SEN/ALN.

The current provision for these learners includes in-class support in a mainstream

setting, placement in a specialist facility

## Cllr Phyl Davies

Portfolio Holder for  
Education & Property



attached to a mainstream school and highly specialist support in one of our special schools.

Through our engagement we know that there is much to be done to provide better alignment of services and greater equity across Powys, as well as a need for investment to enable our schools to be able to make stronger provision for learners with SEN/ALN.

This document is designed to take that dialogue to the next steps. We are setting out a draft vision for how we believe we can make stronger provision for our learners with SEN/ALN – from those who require short-term support to those who need residential care and respite care. We would urge you to read the document, and express your views to us, to help inform our way forward as we plan the most significant investment ever in Powys schools.

Your views will be greatly appreciated as we take matters forward to secure final investment plans.

Diolch yn fawr

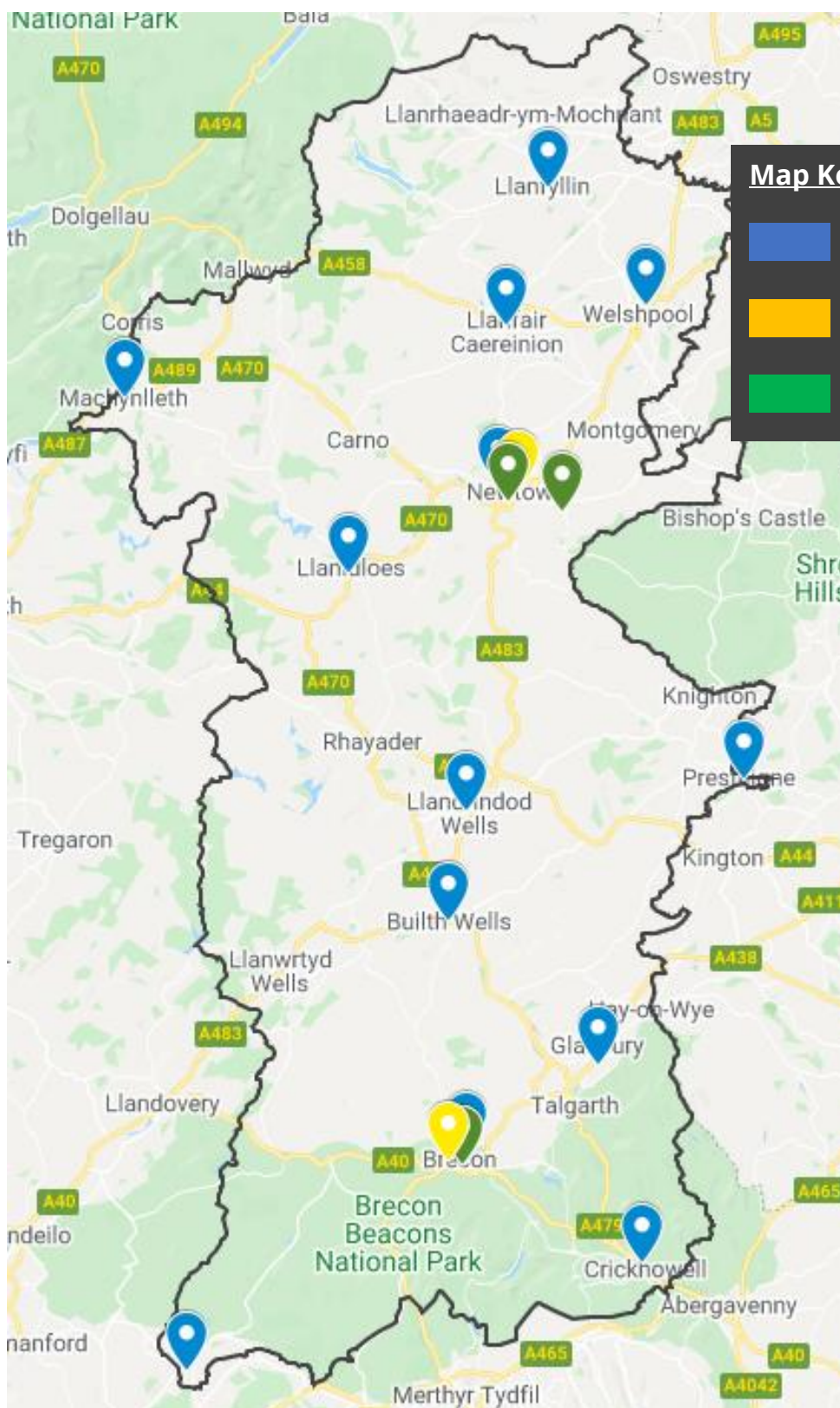
**Cllr Phyl Davies**

**Portfolio Holder for Education and Property**



# Current situation in Powys

There are currently 3545 pupils with special educational needs (SEN)/additional learning needs (ALN) in Powys. Out of these, 2011 pupils are on School Action, 1119 are on School Action Plus and 415 pupils have statements of SEN. 279 pupils attend one of the special schools and 138 attend primary or secondary specialist centres. Powys currently has three special schools and two pupil referral unit (PRU) settings, as shown on the map below.



In addition, there are currently 23 specialist centres in Powys. 19 of these cater mainly for pupils with moderate learning difficulties (MLD), and autistic spectrum disorder (ASD), based in primary and secondary schools. Four of them are also pre-school assessment centres.

| School                   | Key Stage  | Need                                       |
|--------------------------|------------|--|
| Ysgol Cefnlllys          | Pre-school | Children with emerging or identified needs |
| Llanfaes C.P. School     | Pre-school | Children with emerging or identified needs |
| Maesyrhandir C.P. School | Pre-school | Children with emerging or identified needs |
| Ysgol Golwg y Cwm        | Pre-school | Children with emerging or identified needs |

| School                    | Key Stage                         | Need  |
|---------------------------|-----------------------------------|---|
| Builth Wells C.P. School  | KS2                               | MLD   |
| Knighton C.P. School      | KS2 in morning<br>FP in afternoon | MLD   |
| Llanidloes C.P. School    | KS2                               | MLD   |
| Maesyrhandir C.P. School  | KS2                               | MLD   |
| Mount Street Infants      | FP                                | MLD   |
| Mount Street Juniors      | KS2                               | MLD   |
| Welshpool C. in W. School | FP and KS2                        | MLD   |
| Ysgol Bro Hyddgen         | FP and KS2                        | MLD   |
| Ysgol Bro Tawe            | FP and KS2                        | ASD and diagnosed social communication difficulties |
| Ysgol Cefnlllys           | FP and KS2                        | MLD   |
| Ysgol Dyffryn y Glowyr    | FP and KS2 Welsh<br>medium        | MLD   |
| Ysgol Golwg y Cwm         | FP and KS2                        | MLD   |

| School                                    | Key Stage | Need  |
|---|-----------|---|
| Brecon High School                        | Secondary | ASD and diagnosed social communication difficulties |
| Llanidloes High School                    | Secondary | ASD   |
| Ysgol Calon Cymru<br>(Llandrindod Campus) | Secondary | ASD   |
| Ysgol Maesydderwen                        | Secondary | MLD and ASD   |

# SEN/ALN Vision – Guiding Principles

The Draft ALN Code of Practice sets out its aim and principles as follows:

## Aim

To support the creation of a fully inclusive education system where all learners are given the opportunity to succeed and have access to an education that meets their needs and enables them to participate in, benefit from, and enjoy learning

## Principles

- a) **A rights-based approach** where the views, wishes and feelings of the child, child's parents/carers or young person are central to planning and provision of support.
- b) **Early identification, intervention and effective transition planning**
- c) **Collaboration** where all involved work together in the best interests of the child or young person
- d) **Inclusive education** supporting participation fully in mainstream education, wherever, feasible and a whole setting approach to meeting the needs of learners with ALN.
- e) **A bilingual system** where all reasonable steps are taken to deliver additional learning provision (ALP) in Welsh for children and young people who require support through the medium of Welsh.

## The vision for SEN/ALN in Powys is that:

- All pupils across Powys will receive high quality provision that meets their needs, no matter where they live
- Most pupils with SEN/ALN will be taught in their local mainstream school
- All pupils with SEN/ALN will be placed in a provision that meets their needs, as near to home as is practicably possible, with the appropriate specialist teaching, support and facilities that enables every learner to meet their potential
- There will be a comprehensive range of specialist provision, including special schools, pupil referral unit (PRU), specialist centres, satellite centres and early assessment provision
- This will include both English and Welsh medium provision
- Special schools will cater for those pupils who have the most complex needs, for example severe learning difficulties (SLD), profound and multiple learning difficulties (PMLD) and complex autistic spectrum disorder (ASD)
- Schools within and across geographical areas will support each other and share effective practice

In the recent engagement exercise, **88%** of respondents agreed or strongly agreed with the draft vision. **5%** of respondents disagreed or strongly disagreed, with the remaining **7%** stating that they neither agreed nor disagreed.

# Current Issues

The current issues facing Powys at the moment include:

- Until recently, the local authority (LA) has not had a clear enough vision for learners with SEN/ALN
- The purpose of some of the specialist provision has been unclear
- Depending on where pupils live, they have access to a different quality and type of provision
- Some pupils have to travel long distances to reach a provision that meets their needs
- Some pupils who are currently placed in specialist provision (special schools or specialist centres) could be educated in a mainstream school
- Access to provision through the medium of Welsh is inconsistent
- Mainstream schools do not all have the facilities or expertise required to support pupils with a wide range of learning needs

# What should SEN/ALN provision across Powys look like in the future?

It is proposed that all mainstream schools should be supported to meet the needs of pupils with a wide range of learning needs. It will only be the pupils with the most complex needs who should be attending specialist provision.

Specialist provision will include:

- Special Schools
- Satellites of special schools
- Specialist centres
- Pupil Referral Unit (PRU)
- Behaviour/nurture programmes

In addition, support for pupils will be provided by central staff and outreach services from the specialist provision listed above, as well as from the early years team.

It is proposed that for the purpose of specialist provision, Powys should be divided into a number of geographical areas.

In terms of Welsh medium provision, it may be necessary to develop one county-wide model.

The intention is that each area should have similar (though not identical provision). Differences may be where there is already an existing special school, or where the needs of the region are different. For example, one area may have a greater need for behaviour provision than another.

Pupils will continue to be placed in specialist provision through the relevant LA panel. However, more emphasis will be placed on involving headteachers and ALNCoS in deciding which is the most appropriate provision for an individual child within their area. The LA is very keen to work in partnership with schools to make sure that pupils are placed in the most appropriate setting.

## Areas in which transformation is required

In order to achieve this vision, wholesale transformation is going to be required. This will involve the refiguration of current provision and development of new provision as well as supporting mainstream schools to be able to meet the learners of a wider range of pupils with SEN/ALN.

Alongside the proposed transformation described in this document, there will be a restructure of central services. This will enable the LA to provide the support for schools that will be required to take this transformation forward. Information about the restructure will be provided in a separate paper at the appropriate time, in line with advice from HR.

Six areas of transformation were initially identified:

- Mainstream

- Early support/assessment
- Specialist provision for pupils of statutory school age with the most complex needs
- Specialist centres
- Specialist behaviour provision
- Provision for SEN/ALN learners up to the age of 25

In the recent engagement exercise, **92%** of respondents agreed or strongly agreed with the 6 main areas identified for transformation. **2%** of respondents strongly disagreed, with the remaining **6%** stating that they neither agreed nor disagreed.

Following the engagement exercise, a further area of transformation has been added: Welsh medium support and provision for pupils with SEN/ALN.

## Important considerations

- The aim of this transformation is to make sure that every child and young person with SEN/ALN in Powys receives the education they need to help them develop as happy, confident and independent individuals
- It is not the intention of the LA to close provision suddenly or to move pupils out of a provision if this is not in their best interest. Changes will take place over several years.
- The view of the child or young person will be fully considered in any decision that is made.
- The LA will work closely with parents and carers and other professionals to make sure that provision meets pupils' needs
- There will be a need to monitor and evaluate all aspects of provision on a regular basis to ensure that the system is working effectively.

# Area of Transformation 1: Mainstream

In the recent engagement exercise, **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 1: Mainstream. **4%** of respondents disagreed or strongly disagreed, with the remaining **13%** stating that they neither agreed nor disagreed.

The **Additional Learning Needs and Education Tribunal (Wales) Act 2018**<sup>1</sup> states that local authorities have a duty to favour education for children at mainstream, maintained schools:

## **51 Duty to favour education for children at mainstream, maintained schools**

- (1) A local authority exercising functions under this Part in relation to a child of compulsory school age with additional learning needs who should be educated in a school must secure that the child is educated in a mainstream maintained school unless any of the circumstances in paragraphs (a) to (c) of subsection (2) apply.
- (2) The circumstances are—
  - (a) that educating the child in a mainstream maintained school is incompatible with the provision of efficient education for other children
  - (b) that educating the child otherwise than in a mainstream maintained school is appropriate in the best interests of the child and compatible with the provision of efficient education for other children
  - (c) that the child's parent wishes the child to be educated otherwise than in a mainstream maintained school.

## Current Situation

The county has 73 primary schools, 2 infant schools and 2 junior schools – these are a combination of community primaries, Church in Wales voluntary controlled or voluntary aided schools, and one foundation school. The county has 9 secondary schools across 11 sites, 2 all-age school, 3 special schools, 2 pupil referral units. 17 of these currently have one or more specialist centres on site.

## Important considerations

- In Powys, there are examples of effective practice in mainstream schools in relation to pupils with SEN/ALN
- However, there are some pupils in specialist provision who could attend mainstream classes. This includes pupils with moderate learning difficulties (MLD) and some pupils with ASD.
- All pupils should be educated in the setting that meets their needs best
- Although most pupils will be educated in mainstream schools, some of these may need to attend a specialist centre within a mainstream school. This may be on a short-term basis
- During this period of change, pupils should not be taken out of a specialist provision unless this is in their best interest

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<sup>1</sup> <https://www.legislation.gov.uk/anaw/2018/2/contents>

- The purpose of making any proposed changes should be to improve opportunities for children and young people
- Teachers and teaching assistants (Tas) in mainstream schools do not all have sufficient knowledge and expertise in order to meet the needs of pupils with SEN/ALN
- In order for more pupils to be educated in mainstream schools, staff must receive high-quality training – this includes SENCos/ALNCos and Tas as well as senior management and governing bodies
- Training is required in a wide range of areas, including ASD, specific learning difficulties (SpLD) and speech, language and communication difficulties
- Training will enable more pupils to stay in their local school with their friends and siblings.
- Having a sense of belonging and connection is important to pupils' wellbeing
- An audit of the skills of teachers and Tas needs to be carried out to identify any further training required
- Programmes such as ELSA and Incredible Years should be in every relevant setting
- All mainstream schools must be supported to develop a fully inclusive, mentally healthy, nurturing, trauma informed ethos
- Every school should have an emotional wellbeing and mental health policy as well as a designated member of staff to take responsibility for implementation of this policy
- One of the key challenges for schools at the moment is the increasing number of pupils who experience difficulties as a result of Adverse Childhood Experiences (ACEs)
- The wellbeing of all pupils, including those with SEN/ALN is essential in order for pupils to achieve – wellbeing is not always given enough emphasis in schools
- All staff working with pupils with SEN/ALN should understand the vulnerability of these pupils
- All schools should have 'wellbeing' facilities to support pupils who are anxious at an early stage, before their difficulties become more severe
- In order for mainstream schools to be able to address the needs of pupils with SEN/ALN effectively, there is a need to review the way in which funding is delegated to schools
- Some pupils will need additional support from a TA. However, it is crucial that Tas are deployed in a way that will help pupils to develop their learning skills and independence
- Where possible, additional support should be provided to a group of pupils, rather than individuals. This is to ensure that pupils benefit from learning alongside their peers, and that they do not become over-dependent on adult support
- Schools should use provision mapping to support the effective use of interventions and deployment of Tas and should measure the impact of interventions and support
- The impact of the ALN Act and this proposed transformation on the work of SENCOs/ALNCos needs to be recognised and support/training put in place
- School buildings do not always make it easy for schools to support pupils who need time out of the classroom, such as wellbeing centres
- Isolation booths should not be used, as they can be humiliating.
- Not all mainstream schools in Powys are fully accessible for pupils, staff and parents with disabilities, including changing and washing facilities, and adaptations for pupils with visual or hearing impairment



- The current stock of school buildings do not always have the facilities required for staff to carry out essential SEN/ALN work, such as meeting rooms for reviews of statements, rooms for specialists such as educational psychologists and therapists
- All schools should be fully accessible and adaptable to children and young people
- Some school buildings will need reorganising to accommodate the need for safe spaces.
- Support from quality external agencies should be available for all mainstream schools
- Some pupils who are learning English as an additional language (EAL) may also have an SEN/ALN. It is essential that both of these aspects are recognised and appropriate support put in place when required
- Refugees and asylum seekers are especially vulnerable to having significant mental health needs

## What we have already done

- ✓ The local authority is using grant funding in 2020 – 21 to place a clear focus on training for mainstream school staff
- ✓ The LA is funding 14 teachers in 2020 – 2022 to carry out 2-year post-graduate diplomas in ASD, Speech and Language, Behaviour, SPMLD and inclusion
- ✓ These staff will be used to provide support and advice to other schools across Powys
- ✓ We have carried out a review of SEN/ALN delegated funding for implementation in April 2021
- ✓ We have developed a proposed new structure for the central SEN/ALN team, with a clearer focus on support for pupils, families and schools
- ✓ Regular SENCo/ALNCo forum meetings have been planned for the coming year
- ✓ Monthly updates have been provided for schools and governors
- ✓ We have developed a single point of access for all referrals into the Schools Service through the Powys Inclusion Panel (PIP)

## What we plan to do

- A county-wide training programme will be developed, so that staff in all schools can be upskilled in relation to a wider range of SEN/ALN, including autistic spectrum disorder, speech, language and communication difficulties, specific learning difficulties (including dyslexia) and BESD
- The LA ALN service will be strengthened through a restructure, to ensure that central staff have a high level of expertise in specific aspects of SEN/ALN. This may include the secondment of specialist staff from schools
- LA officers will work in teams within specific geographical areas, so that they get to know their schools very well and are able to provide relevant and timely support to schools, pupils and families
- Training will be provided not only by centrally employed staff but also by the special schools, PRU and other specialist provision
- We will work with the special schools and PRU to develop their outreach services in order to provide co-ordinated, consistent advice, support and guidance to more schools

- School-to-school support will be an important part of upskilling schools. This will include identifying and sharing effective practice
- Where appropriate, staff in each area will be trained as trainers, so that they can train other staff within their area on a rolling programme
- We will work with schools to develop a shared understanding of school and LA responsibilities – the LA should only fund over and above what can reasonably be provided by the school
- We will review the deployment of teaching assistants (Tas) across Powys
- The LA will carry out an audit of all school buildings and Pupil Referral Units to identify where work is required
- Plans for new schools will include facilities for supporting pupils with SEN/ALN and for promoting the wellbeing of all pupils
- We will use grant funding to appoint a teacher to support pupils who have English as an Additional Language as well as their families. This teacher will work closely with SEN/ALN specialists to ensure that the needs of these pupils are fully met

# Area of Transformation 2: Early Support/Assessment

In the recent engagement exercise, **79%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 2: Early Year Support/Assessment. **8%** of respondents disagreed or strongly disagreed, with the remaining **13%** stating that they neither agreed nor disagreed.

The **draft ALN Code of Practice<sup>2</sup>** states that:

*'Where multi-agency working is required to support children and young people making transitions, the agencies involved should work together to provide personalised, integrated support that delivers positive outcomes for children and young people, bringing together support across education, health, social care and other relevant agencies from early childhood through to adult life'*

and that:

*'The earlier action is taken, the more effective the action is likely to be. Identifying ALN at an early stage and delivering appropriate interventions can also prevent the need for future more costly and less effective interventions'*

## Current Situation

Currently there are four pre-school assessment centres in mainstream schools in Powys. However, most areas of Powys do not have a pre-school centre. Pupils in these areas attend non-specialist pre-school settings.

Numbers of pupils attending these provisions in March 2020 were as follows:

| Setting       | No of children attending (March 2020) |
|---------------|---------------------------------------|
| Cefnlllys     | 5                                     |
| Golwg Y Cwm   | 4                                     |
| Llanfaes      | 4                                     |
| Maesyrrhandir | 8                                     |

## Important considerations

- Early assessment is crucial, so that the needs of each individual child are identified and support, advice and/or guidance are put in place promptly. In some cases, intervention will be required from birth

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<sup>2</sup> [https://gov.wales/sites/default/files/consultations/2018-12/draft-additional-learning-needs-code-for-wales\\_0.pdf](https://gov.wales/sites/default/files/consultations/2018-12/draft-additional-learning-needs-code-for-wales_0.pdf)

- This should include intervention from a range of professionals, including education, health and social care (including CAMHS and Team around the Family)
- In many cases, intervention at an early stage will prevent the need for a higher level of intervention later on
- Support for families is a key element of this intervention
- The time taken from assessment/diagnosis to support is sometimes slow. However, it should be recognised that support does not necessarily mean additional adult support in a setting. It might mean training, advice and guidance for staff.
- Currently, the provision available depends on where a family live
- We need to ensure consistency across Powys, but do not want to lose any good practice
- We need to consider each geographical area, and identify the needs of the children in each area
- The current model of the pre-school specialist centre in some cases is not fit for purpose
- Children attending some of the pre-school specialist centres only attend for around 5 hours a week, alongside 5 hours at another early years setting
- Not all staff in the centres have a high enough level of expertise in SEN/ALN, and intervention is not always targeted enough
- Not all centres have sufficient access to multi-agency support
- Some young children are currently travelling long distances in taxis to reach a specialist centre
- Placing children together who have, for example, speech and language difficulties does not give them role models to copy
- Staff in non-specialist early years settings do not always have the skills they need to support children with SEN/ALN – there is a need to develop training for all staff working in these settings

## What we have already done

- ✓ We have appointed an Early Years Additional Learning Needs Officer (ALNLO). This is a statutory role under the ALN Act.
- ✓ An ALN group, including representatives from Children's Services and Health, meets regularly and reports to the ALN Workstream of the overall Transforming Education Programme
- ✓ An audit has been carried out of all the professionals currently working with pre-school children with SEN/ALN, and what their role consists of
- ✓ A multi-agency model is being developed, and pre-school children who are being identified as having a (possible) SEN/ALN are now referred to the team.

## What we plan to do

- We will develop the multi-agency model further, so that every pre-school child with a possible/identified SEN/ALN receives appropriate assessment and support, wherever they live. The role of the team will be to identify children with (emerging) SEN/ALN, assess their needs, provide advice and guidance to families and settings and monitor the progress made. A multi-

agency model with highly qualified staff should help children to make progress and reduce the need for intervention at a later stage

- We will develop clear criteria for access to the multi-agency model
- We will meet with the headteachers in the areas where there are pre-school specialist centres to discuss the future need and way forward. This **may** involve closing the pre-school centres or changing them into a different type of provision
- We will provide a robust programme of training for early years settings to enable them to identify and feel confident in addressing the needs of children with a range of needs. This is likely to include training and support for play therapy, mental health, Adverse Childhood Experience (ACEs) and Trauma Informed Schools UK (TISC UK) and Incredible Years.
- This will enable more children to be educated in their own communities alongside their siblings and friends, rather than having to travel long distances to access a specialist provision
- We will develop improved support for children on transition to primary, ensuring that there is a wealth of information which will enable schools to address the needs of pupils from the start
- We will provide support for pre-school settings in the development of individual development plans (IDPs)
- We will consider the need for satellites of the special schools, for children with very complex needs from the age of three

# Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs

In the recent engagement exercise, **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 3: Specialist provision for pupils of statutory school age with the most complex needs. **5%** of respondents disagreed or strongly disagreed, with the remaining **12%** stating that they neither agreed nor disagreed.

## Current Situation

In Powys there are currently two special schools for pupils with a range of complex SEN:

- Ysgol Penmaes (Brecon) – for pupils aged 3 to 19
- Ysgol Cedewain (Newtown) - for pupils aged 3 to 19

Current numbers at these two special schools are as follows:

| School         | March 2020 | September 2020 |
|----------------|------------|----------------|
| Ysgol Cedewain | 120        | 117            |
| Ysgol Penmaes  | 110        | 110            |

## Important considerations

- There will always be a need in Powys for special school provision for the pupils who have the most complex needs
- Pupil who attend special schools should be those whose needs cannot be met in a mainstream class or specialist centre
- We need to reduce the number of pupils travelling out of county to attend special schools, by ensuring that we can meet their educational needs in our special schools and by working with Children’s Services to develop provision for those who require long-term residential care or respite
- Out-of-county placements should be a last resort
- Parents are concerned about the distances their children sometimes have to travel to reach special school provision
- We need to ensure greater equity across Powys by ensuring that pupils with the most complex needs will be within reach of either one of the special schools or one of the satellite centres, including those who wish to be educated through the medium of Welsh
- Satellites should not be a second best. Pupils attending satellites should have access to the same resources for example a sensory room, audio equipment or modified playground equipment as well as the same level of staff expertise
- By creating satellites, it is hoped that there will be a reduction in home to school transport costs

- Schools hosting a satellite will benefit from the expertise of the specialist staff working in the satellite
- The expertise of special school and specialist centre staff needs to be used more effectively to support other schools, pupils and families

## What we have already done

- ✓ Officers and special school headteachers meet regularly to develop future provision
- ✓ We have developed new draft entry criteria for the special schools
- ✓ Funding for the building of new schools at Cedewain and Brynllwarch has been agreed by Welsh Government. This means that the two schools will have greatly improved facilities. The plans take into account that there will be smaller numbers of pupils in each class, as the needs of pupils in special schools are becoming increasingly complex
- ✓ Seven teachers in special schools are being funded this year to carry out post-graduate diplomas in ASD, severe, profound and multiple learning disabilities (SPMLD), visual impairment (VI), hearing impairment (HI) and multi-sensory impairment (MSI). The expertise of these staff will be used to benefit other schools, pupils and their families.
- ✓ Officers have visited satellite provisions in another local authority
- ✓ A model for satellites in Powys is currently being developed

## What we plan to do

- We will finalise and share special school entry and exit criteria
- We will ensure, through the panel, that only those pupils with the most complex needs are given a placement at one of the special schools
- We will develop proposals to open a small number of satellites of the Ysgol Penmaes and/or Ysgol Cedewain for pupils who require special school provision but who do not live near one of the special schools.
- We will carry out an audit to identify the potential need for Welsh medium special school or satellite provision in Powys
- We will work with headteachers and other stakeholders to establish what is best for pupils with significant anxiety and other mental health issues – some of these pupils currently attend the special schools although they are working at a high level
- We will develop closer links between the special schools and mainstream schools so that pupils, where appropriate, can access aspects of both special and mainstream provision and, where appropriate, return to mainstream
- We will work with the special schools to ensure that staff working in these schools have a high level of knowledge and expertise

## **Satellites**

*A satellite is, essentially, a special school class within or attached to a mainstream school. This is a model that works extremely effectively in other LAs.*

*Satellites of special schools in Powys will provide education mainly for pupils who meet the criteria for a special school, but who do not live within easy travelling distance of a special school. They will provide for pupils from the age of three, in line with the special schools, allowing more effective early intervention.*

*Satellites will normally consist of six to eight pupils, with one teacher, one higher level teaching assistant (HLTA) and one teaching assistant (TA) who will either have been seconded from one of the special schools or will be appointed to the role and will be part of the staff of the special school. Dependent on the number of pupils in the class and their level of need, it may be necessary to provide additional TA support.*

*Pupils will be on roll at the special school. If appropriate, they will attend the satellite four days a week and the special school one day a week.*

*Although on the roll of the special school, pupils will be part of the mainstream school. They will access activities such as assemblies, break and lunchtimes, as well as some lessons if appropriate.*

*When setting up satellites, we will need to identify schools with:*

- *Appropriate accommodation*
- *An inclusive ethos*
- *A senior leadership team committed to inclusion*

*A service level agreement between the LA, special school and mainstream school will be produced, to ensure that roles and responsibilities are clear.*



# Area of Transformation 4: Specialist centres

In the recent engagement exercise, **78%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 4: Specialist Centres. **6%** of respondents disagreed or strongly disagreed, with the remaining **16%** stating that they neither agreed nor disagreed.

## Current Situation:

There are currently 19 specialist centres for school-age pupils, in addition to the four pre-school centres. These centres cater mainly for pupils with moderate learning difficulties (MLD) and autistic spectrum disorder (ASD).

| School                    | Key Stage                         | Need  |
|---------------------------|-----------------------------------|---|
| Builth Wells C.P. School  | KS2                               | MLD   |
| Knighton C.P. School      | KS2 in morning<br>FP in afternoon | MLD   |
| Llanidloes C.P. School    | KS2                               | MLD   |
| Maesyrhandir C.P. School  | KS2                               | MLD   |
| Mount Street Infants      | FP                                | MLD   |
| Mount Street Juniors      | KS2                               | MLD   |
| Welshpool C. in W. School | FP and KS2                        | MLD   |
| Ysgol Bro Hyddgen         | FP and KS2                        | MLD   |
| Ysgol Bro Tawe            | FP and KS2                        | ASD and diagnosed social communication difficulties |
| Ysgol Cefnlllys           | FP and KS2                        | MLD   |
| Ysgol Dyffryn y Glowyr    | FP and KS2 Welsh medium           | MLD   |
| Ysgol Golwg y Cwm         | FP and KS2                        | MLD   |

| School                                 | Key Stage | Need  |
|--|-----------|---|
| Brecon High School                     | Secondary | ASD and diagnosed social communication difficulties |
| Llanidloes High School                 | Secondary | ASD   |
| Ysgol Calon Cymru (Llandrindod Campus) | Secondary | ASD   |
| Ysgol Maesydderwen                     | Secondary | MLD and ASD   |

It should be noted that, although some of the centres were originally designated as centres for pupils with MLD, in reality many of the pupils attending these centres by now have more complex needs.

## Important considerations

- We recognise the need for some specialist centres
- The specialist centre model can be a highly effective model, as pupils benefit from being in a mainstream school but also from receiving specialist input
- Schools that host specialist centres can benefit from the knowledge and expertise of specialist centre staff
- Specialist centres should be for those pupils who need highly specialised input from staff with specialist expertise and qualifications. This will include pupils who have speech and language difficulties, autistic spectrum disorder and complex needs
- In some schools, especially secondary schools, pupils attending the specialist centres access mainstream lessons for most of the day and week. They mainly access the centre for emotional support. While this is crucial, schools should be providing this type of support themselves
- Placement at a specialist centre should not always be full-time and long-term. Where possible, part-time, short-term placements should be considered
- Many of the current centres have become too large, with around 12 pupils. This number needs to be reduced to around six to eight.
- Feedback from the engagement exercise suggested that some people feel that pupils are 'stuck in a unit.' There is a need to change this perception. Pupils in specialist centres should feel fully part of the school but receive specialist intervention in the centre.
- There will be a need to reorganise the specialist centre provision over the coming years. This will be in order to:
  - ensure more equitable access across the county
  - ensure progression from primary to secondary
  - ensure that pupils with a wide range of needs will receive high quality specialist intervention, as close to their homes as is possible
- The purpose of the specialist centres has not been made clear enough by the local authority
- While there is a need for greater equity across Powys, it should also be recognised that different geographical areas may have slightly different needs
- Before any changes are made, discussion will take place between officers, headteachers and governing bodies and a formal consultation process will take place
- Where pupils are currently attending specialist centres, we will consider each pupil on an individual basis, to assess whether they are in the right type of provision
- It is likely that any changes will need to be made in a number of phases over two or three years. This is in order to manage the statutory processes, make sure that schools and parents are on board, and make sure that individual pupils are not affected negatively by the changes.
- Where there are specialist centres, these should cater for children across the region, not only children within the school where the centre is based
- Placement at a specialist centre should always be considered and agreed at the relevant LA panel in order to ensure consistency across the county

## What we have already done

- ✓ We have carried out a review of the specialist centres, identifying strengths and areas for development
- ✓ We have collated data on where pupils with SEN/ALN live, as well as their type of need. This will inform planning
- ✓ We are funding five teachers in the specialist centres in 2020 to undertake post-graduate diplomas in autism, behaviour and inclusion. In September 2021 we will be offering the same opportunity to more teachers in the centres
- ✓ The views of headteachers have been taken into when producing the engagement document and this proposed strategy. This includes a meeting with the headteachers of schools with specialist centres and an email to all headteachers asking for their views
- ✓ Very helpful feedback was received as part of the engagement exercise, and this has been used to inform the proposed strategy

## What we plan to do

- Work with headteachers to identify four or five geographical areas, each one linked to two or three secondary schools
- Meet with the headteachers in each geographical area to consider the needs of pupils in that area, and to review whether each area has an appropriate range of provision. This may involve closing some of the centres or changing them into a different type of provision. The first meeting of this kind is taking place in September 2020
- Clarify the entry and exit criteria for each of the specialist centres
- Work with the Transformation team in the planning of new schools to determine whether some type of LA funded provision is needed in these schools
- Ensure that, in the future, all teachers working in specialist centres have achieved or are working towards a post-graduate diploma in an area of SEN/ALN

# Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD)

In the recent engagement exercise, **78%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 5: Specialist provision for pupils with behavioural, emotional and social difficulties (BESD), **5%** of respondents disagreed or strongly disagreed, with the remaining **17%** stating that they neither agreed nor disagreed.

## Current Situation:

In Powys, the current provision for pupils with BESD is as follows:

- Ysgol Brynllwarch (Kerry)
- PRU North (Newtown)
- PRU South (Brecon)

Ysgol Brynllwarch provides education for pupils at Key Stage 2 and above, who have significant BESD. They should have received regular input from behaviour specialists while they are attending mainstream schools. Despite this input, they will still struggle to regulate their behaviour, and will require more specialist provision. After a period of time at Ysgol Brynllwarch, they may be able to return to mainstream.

The PRU caters for pupils with a range of needs, including:

- Pupils with BESD
- Pupils who have been permanently excluded for a one-off incident and for whom an alternative school placement cannot be found
- Pupils with medical needs
- Pupils with anxiety
- Pregnant schoolgirls

The PRU caters mainly for pupils aged 11-16, but also for a few pupils at key stage 2 (KS2).

At KS2 and KS3, the intention is that pupils should return to a mainstream school after a period at the PRU. At KS4, pupils are more likely to move on to further education, work-based learning or employment.

## Important considerations

- There is currently a lack of support for pupils with behavioural difficulties and their families at an early stage. By this we mean both early in terms of age and also early in terms of the presentation of BESD, which might not happen until secondary school

- Although it is the responsibility of schools and other settings to address low level behaviours, in line with the graduated response, not all mainstream staff have the expertise to do this – this needs to be addressed by training and the provision of resources
- Many children and young people struggle in school or display challenging behaviour because of their adverse childhood experiences (ACEs), including trauma
- Many mainstream teachers feel that BESD is the most difficult challenge that they face
- Early intervention for pupils with BESD is essential, in order to address pupils' needs at an early stage and to prevent further difficulties
- Some children have needs that are harder to manage in a large class because they are not emotionally/developmentally ready for learning. These pupils may benefit from access to a well-established nurture group
- Intervention should normally be short-term
- There is a need for all schools to build up expertise in relation to behaviour
- There should be a focus on the promotion of positive behaviour strategies at a younger age
- A coordinated approach across education, health and social services is key
- Early intervention should allow schools to support most pupils without the need for a specialist placement
- In line with the graduated response, schools should have accessed a level of training and tried and evaluated a range of strategies before applying for a pupil to attend specialist provision.
- The needs of the child or young person should be at the forefront of any decision made
- All staff involved with a particular pupil should be familiar with their one-page profile, especially at times of transition
- Pupils should be involved in making decisions about their current and future education
- Every effort should be made to enable pupils to attend their local school where this is appropriate
- Pupils with behavioural difficulties should have access to suitable provision and intervention wherever they live
- Pupils who attend Welsh-medium schools should have access to appropriate support through the medium of Welsh
- The special schools should only be attended by those pupils who have the greatest needs which cannot be met in a mainstream class or specialist centre
- Entry criteria for the special schools should be clear and shared with all
- Ysgol Brynllwarch currently consists of an old building that is not fit for purpose
- The two buildings currently used by the PRU lack space and facilities and therefore limit the range of learning experiences that can be offered
- Only those with the most significant difficulties should access specialist provision
- There should be more opportunities for pupils who attend specialist provision to access or return to mainstream schools
- Special schools and mainstream schools should work together to promote joint placements (e.g. a mainstream pupil accessing specialist intervention in a special school, or a special school pupil accessing specific subjects or activities in a mainstream school)

- Placement at a special school does not mean that the pupil has to stay at that school throughout their education
- Placement at a mainstream school does not mean that the pupil has to stay at that school throughout their education
- The length of placement at specialist provision, for example at the PRU or Brynllwarch should be flexible in line with the needs of the individual pupil
- Generally, pupils with anxiety should be supported to remain in mainstream schools.
- Ysgol Brynllwarch and the PRU already provide some outreach and training for mainstream schools, without additional funding. However, there is a need to ensure that this work is co-ordinated more effectively.

## **What we have already done**

- ✓ Funding has been granted by Welsh Government for the building of a new school for Brynllwarch
- ✓ We have drafted new entry criteria for the special schools
- ✓ Officers and special school headteachers have met regularly to develop this vision and to plan the way forward
- ✓ We have started to develop a pilot nurture programme for pupils in foundation phase/key stage 2
- ✓ We have developed an Emotional, Health and Wellbeing strategy in Powys
- ✓ A few schools already run nurture groups

## **What we plan to do**

- We will do a mapping exercise to establish what is currently available in Powys to support pupils with BESD and where there are gaps in provision
- We will implement the Emotional Health and Wellbeing strategy in Powys
- We will roll out nurture programmes in other areas of Powys if the pilot is successful
- We will improve PRU facilities
- We will provide training for all early years settings and schools to support children and young people with BESD
- We will work with early years settings, schools and other professionals to identify the universal provision that all schools will provide for pupils
- We will work closely with other colleagues in children's services, youth services and health to provide support to children and young people with BESD and their families
- We will work closely with parents/carers and external agencies to ensure collaboration and access to parenting/family support

### ***Nurture programme***

*The nurture programme will be delivered by trained staff, in line with Nurture UK guidance. Pupils will initially receive a twelve-week programme of targeted intervention, after which time the expectation is that if possible they should return to their mainstream school. Where required, a further twelve-week programme may be offered. Pupils will remain on the roll of their local school.*

*Prior to the start of the programme, specialist teachers will:*

- *visit and observe pupils in their home schools*
- *talk to headteacher/ALNCo/class teacher about the individual pupil*
- *scrutinise documentation including statement/individual plans, reports from specialists etc.*

*During the programme, in line with individual needs, pupils will spend time at their own school.*

### ***Planned impact***

- *Targeted intervention will reduce the number of exclusions*
- *There will be a reduction in the number of pupils requiring full-time PRU or special school provision*
- *Schools will be more able to manage pupils who display BESD*
- *Short-term provision will mean that more pupils will be able to access specialist input*
- *Part-time placement will mean that pupils will continue to attend their mainstream school*
- *Mainstream staff will be able to benefit from the input of specialist staff and develop strategies to support other pupils at the school*

# Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25

In the recent engagement exercise, **83%** of respondents agreed or strongly agreed with the ideas set out under Area of Transformation 6: Provision for SEN/ALN learners up to the age of 25, **3%** of respondents disagreed or strongly disagreed, with the remaining **14%** stating that they neither agreed nor disagreed.

## Current Situation

Under the ALN Act, LAs will be responsible for providing education and training for learners with ALN potentially up to the age of 25. Most pupils attending special schools do so up until the age of 19. Many other pupils with SEN/ALN leave school at 16.

The post-16 workstream of the national ALN Transformation programme in Powys has started to plan for the future through developing links with a range of providers. However, at this point, it is not clear what new provision will be needed for these learners after they leave school.

## Important considerations

- One of the changes that will be required as a result of the ALN Act is that LAs will be responsible for SEN/ALN learners after they have left statutory education
- This is therefore a new area of responsibility for the LA and, as such, is not yet very well developed
- There will be a need for officers to develop knowledge and expertise in this area
- Nationally there is lack of suitable provision for learners with SEN/ALN once they have left school
- There is a need for a comprehensive suite of support and/or provision for learners from 0 to 25 – this is likely to include apprenticeships and supported employment
- The priority should be supporting learners to develop the skills they need in future life.
- For some, this will involve basic living skills - cooking, cleaning, managing their own budgets, being more independent in the community (learning how to catch a bus to various places on their own, going shopping and so on), leisure activities, or work.
- Welsh Government strategy needs to inform the work in Powys
- Under the ALN Act, some learners with ALN in the future will have individual development plans which will remain in place after they have left school. We will need to work with providers to develop these plans
- Some parents have concerns about the level of support available for learners at college, including small group and one to one support. Similarly, there are concerns about support for young people at university, including wellbeing support.



## What we have already done

- ✓ Officers are in the process of carrying out a review of post-16 provision for learners with SEN/ALN
- ✓ This review asks the questions:
- ✓ What is currently available for post-16 learners with SEN/ALN who live in Powys?
- ✓ What gaps are there in provision?
- ✓ What do we need to do to address these gaps?

## What we plan to do

- Ensure that learners with SEN/ALN are fully considered as part of Strategic Aim 2 of the Powys Transformation Strategy: Improving learner entitlement and experience for post-16 learners
- Work with college/s, work-based learning providers and schools to ensure that they provide a suitable range of appropriate provision for learners with SEN/ALN - this will include relevant courses and qualifications, as well as support for learners' wellbeing and SEN/ALN

# Area of Transformation 7: Welsh medium support for pupils with SEN/ALN

Welsh medium support and provision should be taken into consideration in relation to each of the areas of transformation above. However, following the engagement exercise and in order to make sure that issues relating to Welsh-medium support are given appropriate attention, this has been added as an area for transformation in its own right.

## Current situation

- There is currently very little LA funded provision or support through the medium of Welsh.
- There is one specialist centre in a Welsh medium school, namely Ysgol Dyffryn y Glowyr. This caters for pupils in foundation phase and key stage 2 with a range of needs. This wide age range and broad range of needs poses some challenges for the school.
- The specialist centre in Ysgol Bro Hyddgen, a dual streamed school, also provides for a few pupils through the medium of Welsh.
- Although there are a few centrally employed specialist teachers or educational psychologists who have some knowledge of Welsh, there are none who are able to work completely through the medium of Welsh.

## Important considerations

- Pupils with SEN/ALN who wish to be educated through the medium of Welsh should be able to do so.
- It has to be recognised that where numbers of pupils are very low, it is not always possible to provide exactly the same provision in Welsh as is available in English, without requiring pupils to travel very long distances
- When posts have been advertised for central staff, there have been very few or no Welsh speaking applicants

## What we have already done

- ✓ We are using grant funding to enable a Welsh-speaking teacher in one of our specialist centres to carry out a two-year post-graduate diploma in ASD
- ✓ We have used grant funding to purchase specialist resources in Welsh for two of the specialist centres

## What we plan to do

- We will make efforts to employ Welsh-speaking staff when there are vacancies in the central team – however, it is essential that anyone appointed has excellent knowledge and experience in SEN/ALN
- We will encourage central staff to improve their knowledge of Welsh, so that they are able to provide support to schools and pupils through the medium of Welsh
- We will explore options for training Welsh speaking staff who work in Powys schools to provide outreach for other schools
- We will carry out an audit of children and young people with SEN/ALN who require specialist provision through the medium of Welsh
- We will identify and address gaps in provision
- We will work with relevant officers to ensure that, where new Welsh-medium schools are being developed, this includes provision for pupils with SEN/ALN
- We will establish a group of Welsh medium school headteachers and/or ALNCoS, to consider the specific issues relating to Welsh medium SEN/ALN

# Conclusion

This report has identified a significant amount of work that is needed to ensure that all pupils across Powys will receive high quality provision that meets their needs, no matter where they live.

The local authority will work with headteachers and other stakeholders to develop proposals in relation to the seven areas identified. At the same time, as the LA moves forward with its Transforming Education programme, it is essential that the SEN/ALN needs of pupils are considered fully at every stage.

| Activity   | Year 1<br>2020-21 |   | Total Additional Costs |  | Year 3<br>2022-23 |  |
|--|-------------------|---|------------------------|--|-------------------|--|
|  | £                 | Funding Stream  | £                      | Funding Stream   | £                 | Funding Stream   |
| Additional cost of Restructure of Central ALN services                                   | 98,890            | Part ALN Transformation Grant (£93,270); Part 21st Century Schools Transformation capital grant | 339,260                | Part 21st Century Schools Transformation capital grant (£147,690); Part shortfall (£191,570) | 339,260           | Part 21st Century Schools Transformation capital grant (£147,690); Part shortfall (£191,570) |
| Upskilling Schools   | 107,720           | PCC Transformation  | 107,720                | PCC Transformation   | 107,720           |  |
| Reorganisation of 19 primary / secondary specialist centres / Post Graduate Diplomas     | 49,000            | ALN Transformation Grant  | 70,000                 |  | 21,000            |  |
| New Behaviour Programme  | 28,160            | Regional ALN Grant  | 218,230                |  | 253,430           |  |
| <b>Estimated Savings</b>   | 0                 |   | <b>-36,000</b>         |  | <b>-257,670</b>   |  |
| Early years provision  | 26,490            | Regional ALN Grant  | 105,970                |  | 105,970           |  |
| <b>Estimated Savings</b>   | 0                 |   | <b>-162,950</b>        |  | <b>-279,340</b>   |  |
| Satellites   | 28,290            | Regional ALN Grant  | 265,170                |  | 339,470           |  |
| <b>Estimated Savings</b>   | 0                 |   | <b>-280,000</b>        |  | <b>-280,000</b>   |  |
| ALN Transformation Programme Support Team & ICT  | 184,800           | PCC Transformation  | 128,860                | 21st Century Schools Transformation capital grant; £20,400 part of shortfall                 | 116,960           | 21st Century Schools Transformation capital grant; £8,500 part of shortfall                  |
| <b>TOTAL:</b>  | <b>523,350</b>    |   | <b>756,260</b>         |  | <b>466,800</b>    |  |
| <b>Funding Stream</b>  | <b>£</b>          |   | <b>£</b>               |  | <b>£</b>          |  |
| ALN Transformation Grant   | 142,270           |   | 0                      |  | 0                 |  |
| Regional ALN Grant   | 82,940            |   | 0                      |  | 0                 |  |
| 21st Century Schools Transformation Funding  | 49,230            |   | 256,150                |  | 256,150           |  |
| PCC Transformation Fund  | 292,520           |   | 107,720                |  | 0                 |  |
| <b>Total Funding</b>   | <b>566,960</b>    |   | <b>363,870</b>         |  | <b>256,150</b>    |  |
| Surplus / Shortfall (-) in funding   | <b>43,610</b>     |   | <b>-392,390</b>        |  | <b>-210,650</b>   |  |
| Potential impact on base budget if approved: (increase needed / reduction available (-)) | <b>-43,610</b>    |   | <b>392,390</b>         |  | <b>-181,740</b>   |  |

Mae'r dudalen hon wedi'i gadael yn wag yn fwriadol

## CYNGOR SIR POWYS COUNTY COUNCIL.

**CABINET EXECUTIVE**  
**Tuesday, 3<sup>rd</sup> November 2020**

**REPORT AUTHOR: County Councillor Aled Davies**  
**Portfolio Holder for Finance**

**REPORT TITLE: Strategic Risk Register Report Quarter 2 2020/2021**

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**REPORT FOR: Decision**

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**1. Purpose**

- 1.1 The purpose of this report is to set out the council's latest position on managing its key risks, contained in the Strategic Risk Register (SRR). It also outlines the arrangements put in place by the Council for managing the key risks relating to the Covid-19 pandemic.

**1. Background**

- 2.1 Our Strategic Risk Register is key to safeguarding the organisation and building resilience into our services. At a time when the Council is facing unprecedented challenges, the effective management of risk is needed more than ever. A risk-managed approach to decision making will help us to achieve the well-being objectives in Vision 2025, deliver services more efficiently and using innovative and cost-effective means, and help the Council manage its Covid-19 response and recovery.

**2. Advice**

- 3.1 To ensure a risk managed approach to decision making and good governance of the Council, it is proposed that Cabinet:
- Review progress to mitigate strategic risks
  - Continue to note the new Covid-19 risk register

**Review of progress to mitigate Strategic Risks**

- 3.2 As at the end of quarter 2 2020-2021, there are 12 risks on the strategic risk register. Following the decision made by Silver Command to proceed with risk monitoring, all strategic risk owners have provided a short summary of progress since quarter 1 2020-2021, to give assurance that mitigating actions are being actioned and monitored.
- 3.3 Please see appendix A for full details of the 12 strategic risks, and progress against the mitigating actions identified to control them.

- 3.4 Please see appendix B to view a heat map which presents the results of the quarter 2 risk assessment process visually. It highlights that two out of the twelve risks are placed within the 'major' impact category with a probability of almost certain, one is placed within the 'major' impact category with a probability of likely and one is placed within the 'catastrophic' impact category with a probability of possible.

#### Escalation of risks to the Strategic Risk Register

- 3.5 During quarter 2 2020/2021 no risks have been escalated to the Strategic Risk Register.

#### Covid-19 risk register

- 3.6 In order to effectively identify and manage risks relating specifically to the Covid-19 pandemic, a separate risk register was created to provide clarity and oversight for Gold and Silver Command. These risks are reviewed and monitored regularly and have been separated into response and recovery risks, using a new matrix developed specifically for assessing Covid-19 related risks.
- 3.7 Currently there are 56 risks recorded, 4 of the 64 risks are placed within the 'major' impact category 2 with a probability of likely and 2 almost certain, and another 1 placed within the 'catastrophic' impact category with a probability of possible. The register is still monitored by Gold and Silver Command on a weekly basis.

### **4. Resource Implications**

- 4.1 There are no direct resource implications in relation to this report however all risk owners need to consider the resource implications of managing the risk and decide if the best course of action is to tolerate or treat.
- 4.2 The Strategic Risk Register outlines the key risks to the Council's activities, as well as risk to delivery of objectives contained within the Corporate Improvement Plan. There are no direct financial implications from the report although these may arise as new risks are identified on an on-going basis.

The Head of Finance (Section 151 Officer) notes the comment above, financial implications are identified through the relevant service and are considered through the financial management processes in line with the authorities' financial regulations.

### **5. Legal implications**

- 5.1 Legal: The recommendation can be supported from a legal point of view.



5.2 The Head of Legal and Democratic Services (Monitoring Officer) has commented as follows: "I note the legal comment and have nothing to add to the report".

**6. Data Protection**

6.1 N/A

**7. Comment from local member(s)**

7.1 N/A

**8. Integrated Impact Assessment**

8.1 N/A. The Service Risk Register is not setting out any changes or proposals to service delivery.

**9. Recommendation**

**It is recommended that Cabinet notes the current Strategic Risk Register and is satisfied with progress against mitigating actions for quarter 2.**

**The recommendation above will ensure:**

- **Appropriate understanding and management of strategic risks which could prevent us from achieving our objectives**
- **A risk managed approach to decision making and good governance of the Council**
- **The risk related to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic is monitored and reviewed regularly.**

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Head of Service:

Corporate Director: Ness Young, Corporate Director (Resources and Transformation)

Mae'r dudalen hon wedi'i gadael yn wag yn fwriadol

## Strategic Risk Register

| Strategic Risk Register   |  |   |   | Portfolio                               | Inherent | Residua | Controls and Actions   |  |
|---|--|---|---|---|----------|---------|--|--|
| Ref & Owner   | Risk Identified  | Potential Consequence   | Last Reviews  | Director or Head of Service             |          |         | Control or Action  | Status   |
| CS0009<br><br>Jan Coles<br><br>Escalated From :- Children's Services<br><br>Tudalen 105 | Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services | <ul style="list-style-type: none"> <li>- Budget overspend / efficiencies not achieved</li> <li>- Loss of funding leading to an impact on budget and potentially reducing Early Help and Intervention and Prevention, which could increase costs of statutory services</li> <li>- Financial implications for the Authority - budget will suffer an overspend</li> <li>- Impact on other services/functions- Significant budget overspend</li> <li>- Reconfiguration of anti-poverty grants likely to have an impact</li> </ul> | <p><b>11/10/2020</b></p> <p>Qtr 2 20/21 On behalf of Jan Coles. Review Summary: Continue to ensure that we are meeting all requirements of current grant funding, whilst actively seeking new funding streams through the RPB, Welsh Government and elsewhere. There have been additional financial pressures on the service due to COVID-19 and where possible alternative funding has been sourced to try to off-set this.</p> <p><b>05/07/2020</b></p> <p>1st Qtr 20/21. Review Summary: Continue to maximise access to and use of grants. Work with RPB is extending. Startwell review taking place.</p> <p><b>10/05/2020</b></p> <p>Review Summary: The COVID-19 pandemic has created significant uncertainty however grants which WG use to fund Children's Services are expected to continue.</p> <p><b>19/01/2020</b></p> <p>Qtr 3 19/20 Review Summary: . To date this year we have achieved savings however there is an increase in pressures, we continue to monitor this.</p> <p>Children looked after is currently sat at 239 following large sibling group coming in to the Care of the LA in November (5). Demand for the service can be unpredictable and the LA has a statutory duty to safeguard Children. However, this is significant work going on in the Service to shape the Market in Powys to ensure that we are able to provide high quality, cost effective provisions in County</p> | Cllr Rachel Powell<br><br>Alison Bulman | 9        | 9       | <ul style="list-style-type: none"> <li>• Budget challenge in respect of placement Budget overspend.</li> <li>• Increase number of foster carers.</li> <li>• Improvement to Edge of Care services.</li> <li>• Reporting to Assurance Board, FSP, and Audit Committee</li> <li>• Early help hub</li> <li>• All other opportunities for grant funding being reviewed, managed and approached</li> <li>• Core funding to be aligned to EI&amp;P and not just to rely on Welsh Government grants</li> <li>• Future shape of service review</li> <li>• Decrease use of agency staff</li> <li>• Head of Service and Senior Managers routinely monitor with finance.</li> <li>• Head of Service and Senior Manager control significant spend and staffing</li> <li>• Budget challenge and scrutiny</li> <li>• Budget plan in place to address pressures</li> <li>• Opportunities for grant funding is continually explored with WG and all other bodies.</li> <li>• The RPB has a key priority for EI&amp;P across all ages</li> <li>• Re-structure of Children's Services implemented to develop more locality working and enable resilience</li> <li>• Development of transformation plan</li> <li>• Review of residential placements</li> </ul> | <ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> </ul> |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 106             |                 |                       | <p>to meet the needs of our local population and support Children and Young People in our care to achieve the best possible outcomes.</p> <p>In addition to the pressure on our placement budget as described above, we also continue to have continued challenges in recruiting and filling our vacant posts and therefore have a continued reliance on agency staff.</p> <p>Funding by Welsh Government through grants is an aspect of delivering Children's Services. We have worked hard to make the most of the income and use on reducing demand and delivering channel shift. We are at the beginning of a programme of transformation, the benefits of which will not be fully felt for a number of years. Grants can be removed by Welsh Government. Work under way with the RPB to deliver big projects that will deliver big impact changes, e.g. multi agency funding of the early help hubs.</p> <p>The following wording 'Addressing the deficit in the FRM (£1.1million) for 2018/19' has been taken out of the risk title as it refers to 18/19 and is out of date. The current risk in relation to the FRM will still be addressed this risk as it is covered by the ability to meet the requirements of the MTFS.</p> <p><b>13/10/2019</b></p> <hr/> <p><b>07/04/2019</b></p> <hr/> <p><b>31/03/2019</b></p> <hr/> |                             |          |          |                      |        |

| Strategic Risk Register  |  |  |  | Portfolio                              | Inherent | Residual | Controls and Actions   |  |
|--|--|--|--|--|----------|----------|--|--|
| Ref & Owner  | Risk Identified  | Potential Consequence  | Last Reviews   | Director or Head of Service            |          |          | Control or Action  | Status                                     |
| ED0022<br><br>Lynette Lovell<br><br>Escalated From :- Education<br><br>Tudalen 107 | The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners. | Some schools will have spiralling deficits which will have a financial impact on the rest of the Council and the learners in their care. | <b>04/10/2020</b><br><br>Qtr 2 20/21. Review Summary: In Quarter 1 the new formula was in place for schools, and the change mainly affects the secondary schools in Powys. The authority's ability to evaluate the impact of the change has been hampered by the pandemic, but in the budget setting process the signs were encouraging and were pointing towards reducing the overall in-year deficits within the secondary sector. All schools budget submissions were reviewed by the interim Chief Education Officer and SSMT in conjunction with the Head of Finance. All schools in a deficit or significant surplus position were asked to submit Recovery Plans or Spend plans, supported by all appropriate documentation by 16th October. The Schools finance team have worked with schools to identify the financial impact of their response to the Covid-19 pandemic, including ensuring that additional expenditure / lost income is accurately recorded and claimed and that any savings / delayed savings are identified and captured. Autumn Term finance surgeries have begun, prioritising those schools with deficits / concerns around finances. All opportunities taken to reinforce importance of good financial housekeeping (e.g. accuracy of coding etc. and to keep schools updated on latest economic / financial issues.<br><br>1-2-1 training and support has been provided to individual schools as required and additional support has been provided for any new business managers. Finance training was provided as part of the New Head Induction training. Support has been provided for Business Manager recruitment processes.<br><br>The ALN element of the funding formula is currently being reviewed by a working | Cllr Phyl Davies<br><br>Lynette Lovell | 12       | 9        | <ul style="list-style-type: none"> <li>Implementation of R5 in the PIAP</li> <li>PIAP</li> </ul> | Action In Progress<br><br>Control In Place |

| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 108             |                 |                       | <p>group of authority officers, head teachers and governor representatives to ensure that the budget is more closely targeted to learners with ALN.</p> <p><b>28/06/2020</b></p> <hr/> <p>1st Qtr 20/21. Review Summary: All Schools have submitted budgets approved by their Governing Bodies. These are being reviewed by the Schools finance team and finance surgeries with Schools are continuing. The interim Chief Education Officer and SSMT in conjunction with the Head of Finance will consider a report setting out individual schools' budget plans and agree any actions required in relation to deficits or clawback. The Schools finance team are working with Schools to update budgets for the impact of the Covid-19 lockdown, both in terms of cost reductions due to closure of schools and delayed savings realisation as a result of the temporary withdrawal of the Management of Change process. Schools service and Schools finance team will continue to work with Schools to produce balanced budgets / deficit recovery plans, providing support, challenge and scrutiny as required.</p> <p>A limited review of part of the Schools' funding formula during 2020 is proposed to consider the ALN element. Ongoing work on school transformation needs to be delivered to provide long term sustainable school finances.</p> <p><b>26/04/2020</b></p> <hr/> <p>4th Qtr 19/20 Review Summary: In Quarter 4 Cabinet and, subsequently in February, Full Council agreed the additional funding for the schools delegated budget as part of their budget proposals for 2020/2021. This funding would be used for the funding of pay awards, increased teachers pension costs, some items of non-staffing funding</p> |                             |          |          |                      |        |

| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 109             |                 |                       | <p>and the creation of a TLR allowance for the secondary sector.</p> <p>Schools were issued in February with their 2020/21 funding allocation including the above additional funding commitments, and were also provided with estimated funding for 2021/22 onwards.</p> <p>Ongoing work between the Schools Service, Finance, HR and the individual schools to look at the budget which is anticipated for 2020/21 and the setting of a balanced budget by each school continues to take place. Prior to the lockdown, budget meetings had taken place with the majority of the schools. However, due to Co-VID-19 the management of change has been temporarily stopped. Final budget plans from all schools are due by 1st May 2020, schools were given an extension until the 22nd May. However, due to the current COVID 19 lockdown in respect of schools, we have not received further guidance on schools delegated budgets and will continue to assess the impact on the budgets of schools being closed.</p> <p><b>12/01/2020</b></p> <p>3rd Qtr 19/20 Review Summary: The authority issued an additional 11 warning notices in September 2019 to schools and meetings have been held with those schools with the Head of Service and Section 151 officer. These meetings were to discuss the actions required by the respective schools to halt the deficit and to look at how these deficits could be clawed back. As part of the budget process for 2020/2021 the Cabinet will be considering the funding pay awards, pensions and the creation of a teaching and learning responsibility (TLR) allowance. The TLR Allowance would be for the secondary schools and would be within the funding formula.</p> |                             |          |          |                      |        |

| Strategic Risk Register  |  |  |   | Portfolio                              | Inherent | Residua | Controls and Actions   |  |
|--|--|--|---|--|----------|---------|--|--|
| Ref & Owner  | Risk Identified  | Potential Consequence  | Last Reviews  | Director or Head of Service            |          |         | Control or Action  | Status                                       |
| ED0023<br><br>Lynette Lovell<br><br>Escalated From :- Education<br><br>Tudalen 110 | The council fails to make the necessary improvements in response to Estyn recommendations. | Failure to implement these recommendations would have a negative impact on learner experience in Powys. This could also result in the Welsh Government taking over the responsibility of education in Powys. | <p><b>04/10/2020</b></p> <p>Qtr 2 20/21 Review Summary: The risk was reviewed and agreed 28/9/2020. The Improvement and Assurance Board on 29.07.20 recognised that Recommendation 1 is most at risk due to the prolonged period in which the schools were closed.</p> <p><b>28/06/2020</b></p> <p>1st Qtr 20/21 Review Summary: All staff and pupils have access to the national learning platform (Hwb). All Schools were committed to providing online learning experiences for their pupils, including significant interaction across schools to share effective practice. There are 16,000 learners in Powys and 881 have been provided with digital devices and 532 have received mobile Wi-fi devices for use at their home address. This was achieved through effective collaboration between the schools and the Local Authority. Following the WG guidance 'Stay safe, stay learning' and the new advice around live streaming of lessons, all of the Powys schools have now engaged effectively in providing learning experiences for Powys learners. This is monitored weekly by the Challenge Advisers and fortnightly by the Interim Chief Education Officer. However, there is always concern that some learners will find it hard to engage without face to face support from teachers and staff. The School Transformation Board has considered papers which were taken to Cabinet and Scrutiny, and the Leader approved the Strategy for Transforming Education in Powys in Quarter 1. The strategy is currently being implemented and the governance has been approved. The Home to School Transport Policy, is currently in consultation. Following extensive discussions with headteachers, an</p> | Cllr Phyl Davies<br><br>Lynette Lovell | 12       | 9       | <ul style="list-style-type: none"> <li>• Reopen Schools</li> <li>• Implementation of the PIAP</li> </ul> | Action In Progress<br><br>Action In Progress |



| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 111             |                 |                       | <p>engagement paper outlining the broad vision for ALN reform has been agreed by Cabinet and is subject to public engagement which finishes in Quarter 2.</p> <p>In Quarter 1, collaborative and robust decision making by leaders was taken at pace. Officers produced clear guidance for schools and parents. Learners' wellbeing underpinned all strategic decision making.</p> <p><b>26/04/2020</b></p> <hr/> <p>4th Qtr 19/20 Review summary. Following an HMI visit, which took place on 11 February 2020, it was recognised that there is a clear direction of change, with effective prioritising of work and the Local Authority was moving at pace. The Improvement and Assurance Board have received monthly thematic reports, which detail progress made on all recommendations, both at a strategic and an operational level. The Improvement and Assurance board recognised in their February 2020 update that 'the authority has appropriate plans to push forward with improvements in education and is seeking to address these with energy.' It should be noted that the Improvement and Assurance Board is temporarily suspended due to COVID-19, however contact remains in place and progress against the Post Inspection Actions Plan is monitored by Schools Service, the Chief Executive and the Chair of the Board, Jack Straw.</p> <p><b>12/01/2020</b></p> <hr/> <p>3rd Qtr 19/20 Review Summary: The Post Inspection Action Plan is monitored weekly at the Schools SMT. It is also monitored monthly by the Improvement and Assurance Board with key themes being developed. These themes are Vision, ALN and Leadership. Estyn improvement conference has taken place on 28 November and as a</p> |                             |          |          |                      |        |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 112             |                 |                       | <p>result the PIAP has been approved. The PIAP reports to the Transformation Board within the Council and there is a monthly leader's meeting to monitor progress.</p> <p>The Post Inspection Action Plan is monitored weekly at the Schools SMT. It is also monitored monthly by the Improvement and Assurance Board with key themes being developed. These themes are Vision, ALN and Leadership. Estyn improvement conference has taken place on 28 November and as a result the PIAP has been approved.</p> <p>The PIAP reports to the Transformation Board within the Council and there is a monthly leader's meeting to monitor progress.</p> <p><b>01/12/2019</b></p> <hr/> |                             |          |          |                      |        |

| Strategic Risk Register   |  |   |   | Portfolio                           | Inherent | Residua | Controls and Actions   |   |
|---|--|---|---|-------------------------------------|----------|---------|--|---|
| Ref & Owner   | Risk Identified  | Potential Consequence   | Last Reviews  | Director or Head of Service         |          |         | Control or Action  | Status  |
| FIN0001<br>Jane Thomas<br><br>Escalated From :- Financial Services<br><br>Tudalen 113 | The Council is unable to deliver a financially sustainable budget over the sort and medium term. The probability of this risk is heightened due to the impact of the Covid-19 pandemic and its impact on Welsh Government funding and subsequent settlements to the Council. | <ul style="list-style-type: none"> <li>- The Council is unable to fulfil its legal obligation in setting a balanced budget</li> <li>- The Council will not be financially resilient or sustainable</li> <li>- Council reputation damaged</li> <li>- Inability to fulfil our statutory requirements</li> </ul> | <p><b>11/10/2020</b></p> <p>Qtr 2 20/21 Review Summary: Q2 outturn deficit reduced due to the WG support - services still improving on their forecasts to minimise the demand on reserves.</p> <p>Budgeting challenge through IBP process is ongoing with Services being asked to bridge the gaps they evidenced through the first Service Finance Resource Model (FRM) discussions - £19m to be addressed, which is not sustainable even with optimistic WG settlement scenarios</p> <p><b>05/07/2020</b></p> <p>1st Qtr 20/21. Review Summary: The Outturn for 2019/20 reported an underspend against budget of £1.4 million, however there were significant variances against budget for some service areas, and delivery of costs reductions were not fully achieved. These budget gaps were resolved at budget setting for 2020/21. Although delayed, due to the pandemic, work is now underway to assess each service area and the activity within in it in preparation for budgeting for next financial year and over the longer term. We do not yet have any indication of the funding levels that can be expected from WG, but we will update our financial modelling within the MTFS for potential funding scenarios and the revised budget gaps this creates. Ongoing discussion through Welsh Treasurers with WLGA and WG is fundamental raising awareness of the impact of changes in funding on the service the Council is able to deliver.</p> <p><b>03/05/2020</b></p> <p>4th Qtr 19/20 Review Summary: The outturn position for 2019/20 is not yet completed however it is still anticipated that there will be an underspend again budget. The impact</p> | Cllr Aled Davies<br><br>Jane Thomas | 25       | 15      | <ul style="list-style-type: none"> <li>• Revise the Medium Term Financial Strategy</li> <li>• Ongoing discussion with WG and WLGA through Society of Welsh Treasurers for Future Funding of Local Government</li> <li>• WG claims for Hardship and lost income continue and expect to remain in place til march 2021</li> <li>• Reassessment of the activities of the Council through the Recovery Coordination Group</li> <li>• Review budget position at end of first quarter and consider changes to the 2020/21 budget</li> <li>• Cost Recovery work</li> <li>• 3rd party spend reduction</li> <li>• Income Generation</li> <li>• Monthly reports to cabinet and Management Team on budget progress and progress on savings</li> <li>• Budget Challenge Events</li> <li>• Moved to a 3 year balanced budget</li> </ul> | Action In Progress<br>Action In Progress<br>Action In Progress<br>Action In Progress<br>Control In Place<br>Withdrawn<br>Withdrawn<br>Withdrawn<br>Withdrawn<br>Withdrawn |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 114             |                 |                       | <p>of Covid-19 pandemic is likely to have a significant impact on the councils budget and the situation is under constant review as we moved through the next weeks and months. The council will undoubtedly have to review its medium term financial plan in response to the emerging financial position.</p> <p><b>05/01/2020</b></p> <hr/> <p>3rd Qtr 19/20 Review Summary: Cabinet are finalising a balanced budget proposal for 2020/2021 with a 5 year medium term plan which identifies the projected budget gaps for the 5 year period. Integrated business planning will continue to be embedded and improved across the organisation to ensure that the council can deliver its vision outcomes and objectives whilst maintaining a balanced budget and financial stability over the medium and longer term.</p> <p><b>29/09/2019</b></p> <hr/> <p><b>07/04/2019</b></p> <hr/> |                             |          |          |                      |        |

| Strategic Risk Register   |  |   |   | Portfolio                           | Inherent | Residual | Controls and Actions     |                    |
|---|--|---|---|-------------------------------------|----------|----------|--------------------------|--------------------|
| Ref & Owner   | Risk Identified                                  | Potential Consequence   | Last Reviews  | Director or Head of Service         |          |          | Control or Action        | Status             |
| HO0018<br><br>Andy Thompson<br><br>Escalated From :- Housing<br><br>Tudalen 115 | Compliance in Powys County Council Housing Stock | Risk of Injury or loss of life - Reputational damage - Loss of grants (including Major Repairs Allowance circa £3.63m) - Risk of legal action and significant fines | <p><b>20/09/2020</b></p> <p>Qtr 2 20/21 Review Summary: 22.09.20: Compliance One Hundred project is working well but the extent of the work needed - including some works to assets - to achieve 100% compliance means that a revised target date of December 2021 is now in place. High risk areas are being addressed with highest priority (for example legionella, heating systems and fire safety) which will mitigate the risks to residents.</p> <p><b>21/06/2020</b></p> <p>1st Qtr 20/21. Review Summary: Compliance One Hundred project extended to December 2020. Work continues apace to achieve 100% compliance by the end of 2020 and to have in place all necessary policies and procedures to maintain that status thereafter. Water systems management has already been improved, with a specialist contractor undertaking water monitoring and a Seven-day-flush regime introduced for all vacant municipal homes. Heating servicing has regained momentum after a hiatus during the Covid-19 event but concerns remain about the quality and administration of work, which have being addressed by the introduction of formal Quality Assurance checking by the Compliance One Hundred team. Asbestos management is being reinforced by a detailed review of all asbestos liabilities in the municipal housing assets. Tenders are being prepared for specialist providers to undertake fire safety work.</p> <p><b>29/03/2020</b></p> <p>4th Qtr 19/20 Review Summary: Compliance One Hundred project has completed analysis of liabilities and responsibilities. Funds allocated in Housing Revenue Account Business Plan, approved by cabinet March</p> | Cllr James Evans<br><br>Nina Davies | 16       | 9        | • Compliance One Hundred | Action In Progress |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residua | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|---------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |         | Control or Action    | Status |
| Tudalen 116             |                 |                       | <p>2020.</p> <p><b>01/03/2020</b></p> <hr/> <p>4th Qtr 19/20 Review Summary: The Compliance One Hundred Project Team, reporting to the Housing Compliance Board, continues to make good progress. An assessment of six primary areas for compliance has been completed, the first stage of which is to make sure that there is a full and common understanding by both the Council and relevant contractors, including HoWPS, of all assets and systems which need to be included in compliance inspection, servicing and maintenance regimes. In the case of domestic heating systems, a Step-in has been issued to allow the Council to directly manage inspection and servicing for two months (March and April) to allow HoWPS the opportunity to bring its service up to the standard required.</p> <p><b>02/02/2020</b></p> <hr/> <p><b>19/01/2020</b></p> <hr/> |                             |          |         |                      |        |

| Strategic Risk Register  |   |   |   | Portfolio                                   | Inherent | Residua | Controls and Actions   |   |
|--|---|---|---|---|----------|---------|--|---|
| Ref & Owner  | Risk Identified   | Potential Consequence   | Last Reviews  | Director or Head of Service                 |          |         | Control or Action  | Status  |
| ICT0010<br><br>Helen Dolman<br><br>Escalated From :- Digital Services<br><br>Tudalen 117 | Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018 | <ul style="list-style-type: none"> <li>- Potential fine of up to £17,000,000 or 4% of annual turnover</li> <li>- The Council is subject to regulatory data protection audits</li> <li>- Reputational damage</li> <li>- Regulatory enforcement action</li> <li>- Detriment to the data subjects</li> <li>- Civil action and associated consequences</li> </ul> | <p><b>27/09/2020</b></p> <p>Qtr 2 20-21 Review Summary: Control activities continue, such as Data Protection Impact Assessments, Data Processing Agreements etc. Information Security and personal data breach investigations continue to be managed and responded to. The Corporate Information Governance Group (CIGG) have considered and challenged elements of activity within the Council's Information Management Assurance and Governance plan (IMAG) to improve IG practices, taking into account work ongoing to support additional national Test, trace and Protect work. Subject Access request (SAR) backlog to be included within COVID recovery planning alongside other information request recovery activity</p> <p><b>05/07/2020</b></p> <p>1st Qtr 20/21 Review Summary: Consideration of measures required continue, based on new processes to be introduced, Data Protection Impact Assessments, new IT systems, new ways of working, new reasons to process personal data, outcome of breach investigations etc. The Corporate Information Governance Group agreed to revisit the Council's Information Management Assurance and Governance plan following COVID to consider whether processes, practices and risks may have changed.</p> <p><b>29/03/2020</b></p> <p>4th Qtr 19/20 Review Summary: A breach of data protection legislation can occur in many different ways, and whilst the Council can put in place many technical and operational measures to ensure compliance, an instance of staff not adhering to those measures can result in very serious breaches of personal data, for which the</p> | Cllr<br>Graham Breeze<br><br>Diane Reynolds | 12       | 12      | <ul style="list-style-type: none"> <li>• Personal Data Breach Management</li> <li>• - Information Asset Register</li> <li>• - Development of internal records of processing</li> <li>• - Ensure signed agreements are appropriately stored</li> <li>• - Develop data controller vs data Processor check list for services</li> <li>• Review of postal checking regimes in place</li> <li>• Data Protection Impact Assessments</li> <li>• Provision of information to EMT, HoS, and Team Meetings</li> <li>• - Presentations to schools</li> <li>• GDPR Surgeries</li> <li>• - Review current ISP in line with revised versions</li> <li>• Staff training</li> <li>• Communication Plan</li> <li>• - Policies and Procedures</li> <li>• - Review existing Data Processing agreements</li> <li>• Cyber Security Action Plan</li> <li>• DPO considerations on reports to Cabinet</li> <li>• - Information sharing protocols</li> <li>• - Data sharing agreements</li> <li>• - Identify where information sharing takes place</li> </ul> | <ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action Completed</li> <li>Action Completed</li> <li>Action Completed</li> <li>Action Completed</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Withdrawn</li> <li>Withdrawn</li> <li>Withdrawn</li> </ul> |

| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residua | Controls and Actions   |   |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|---------|--|---|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |         | Control or Action  | Status  |
| Tudalen 118             |                 |                       | <p>regulator is able to take action against the Council as a Controller. The Council is not always able to control the errors caused by staff.</p> <p>The more robust the controls and measures the Council has in place to ensure compliance, then the more effectively it is able to argue cases of human error, when staff don't follow those measures or meet those controls put in place.</p> <p><b>05/01/2020</b></p> <hr/> <p>3rd Qtr 19/20 Review Summary: A breach of the GDPR and or Data Protection Act 2018 can occur not just through the disclosure of information, but by failing to comply with many aspects of the legislation. For example no provision of privacy notices, technical and organisational measures not being in place, data processing agreements not in place when personal data is being transferred to organisation processing our personal data, failing to meet timescales in the undertaking of subject access requests, failing to enable the public to exercise their rights of rectification, erasure etc.</p> <p>The Information Management Assurance and Governance plan (IMAG), planning overseen by Corporate Information Governance Group (CIGG), and the work of the Corporate Information Operational Governance Group (CIOG) support the Council's plans to reduce the potential to fail to meet the above obligations.</p> <p><b>13/10/2019</b></p> <hr/> <p><b>07/04/2019</b></p> <hr/> <p><b>31/03/2019</b></p> <hr/> <p><b>03/03/2019</b></p> <hr/> |                             |          |         | <ul style="list-style-type: none"> <li>- Implement revised WASPI Accord and templates</li> <li>- Revised centralised ISP register to link to information Asset and Record of Processing Activities (ROPA)</li> <li>- Create policy on services undertaking due diligence potential processors</li> <li>- Create log of data processors and agreements linking to information asset and ROPA</li> </ul> | <p>Withdrawn</p> <p>Withdrawn</p> <p>Withdrawn</p> <p>Withdrawn</p> |



| Strategic Risk Register   |   |   |   | Portfolio                               | Inherent  | Residua  | Controls and Actions  |  |
|---|---|---|---|---|-----------|----------|---|--|
| Ref & Owner   | Risk Identified   | Potential Consequence   | Last Reviews  | Director or Head of Service             |           |          | Control or Action   | Status   |
| ICT0029<br><br>Julie Davies<br><br><b>Escalated From :-</b><br>Digital Services<br><br><b>Tudalen 119</b> | Cyber Security Threat. Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident. | Loss of Information systems until they can be successfully restored.<br>Loss of data, inability to access data or public disclosure of Personal Data.<br>Cyber risk could materialize in a variety of ways, such as: <ul style="list-style-type: none"> <li>Deliberate and unauthorized breaches of security to gain access to information systems.</li> <li>Unintentional or accidental breaches of security.</li> <li>Operational IT risks due to factors such as poor system integrity.</li> </ul> | <b>04/10/2020</b><br><br>Qtr 2 20/21. Review Summary: Security Operation policy and Process formally documented, A Cyber Response procedure is in progress detailing Deter, Detect, Respond, and Recover procedures<br><b>28/06/2020</b><br><br>1st Qtr 20/21. Review Summary: Control actions in place and work continues on continual improvements identified in the Security Work plan in progress. It remains possible that a cyber attack can happen despite the many controls and procedures in place to prevent this.<br><b>22/03/2020</b><br><br>4th Qtr 19/20 Review Summary 30/3/2020:<br><br>Continuing to work on actions identified in Cyber Security Plan and to conduct reviews into further improvements to add to plan. Capital investment has been used to strengthen process for vulnerability management and incident detection, which enables prompt corrective action on identified risks. Cyber Essentials + accreditation achieved during this financial year along with IASME Governance (Information Assurance for Small and Medium Enterprises Consortium). Progress made in Cyber Security Training for all staff and Council members.<br><b>29/12/2019</b><br><br>3rd Qtr 19/20 Review Summary: Continued improvements to Patching and compliance monitoring procedures.<br>Continuing to work on actions identified in the Cyber Security Improvement plan.<br>Continuing to develop Advanced Threat detection and Security improvements using O365 tools | Cllr<br>Graham Breeze<br>Diane Reynolds | <b>12</b> | <b>9</b> | <ul style="list-style-type: none"> <li>Major Incident response processes</li> <li>End Point AntiVirus in place detecting known threats</li> <li>Disaster Recovery Procedures</li> <li>Capital investment in Security Operations Management Tools</li> <li>Additional Staff Awareness</li> <li>Capital Investment</li> <li>Security Operations Procedures Policy</li> <li>SBAR Reporting</li> <li>Cloud Security controls in place to detect and prevent malicious content in Office365</li> <li>Device Encryprion</li> <li>Annual Penetration testing</li> <li>Cyber Security Improvement Plan</li> <li>Cyber Security Certification</li> <li>Staff Training</li> </ul> | Action In Progress<br>Action In Progress<br>Action In Progress<br>Action In Progress<br>Action In Progress<br>Action In Progress<br>Action Completed<br>Action Completed<br>Control In Place<br>Control In Place<br>Control In Place<br>Control In Place<br>Control In Place<br>Control In Place |

| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 120             |                 |                       | <u>15/12/2019</u><br><u>07/07/2019</u><br><u>07/04/2019</u> |                             |          |          |                      |        |

| Strategic Risk Register         |  |   |   | Portfolio                                | Inherent | Residual | Controls and Actions  |  |
|---------------------------------|--|---|---|--|----------|----------|---|--|
| Ref & Owner                     | Risk Identified                                  | Potential Consequence   | Last Reviews  | Director or Head of Service              |          |          | Control or Action   | Status   |
| PCC0002<br><br>Andrea Mansfield | The impact on the Council as a result of Brexit. | <ul style="list-style-type: none"> <li>- Increased service demand;</li> <li>- Relocation from the EU to Powys of families - estimated at 500;</li> <li>- Fuel shortages;</li> <li>- Loss of access to external (EU) funding programmes;</li> <li>- Reduced income to Powys County Council;</li> <li>- External market factors;</li> <li>- GDPR compliance;</li> <li>- Potential financial crash;</li> <li>- Unable to recruit/retain staff (EU Nationals);</li> <li>- Employee workload;</li> <li>- Delays/disruption to food and/or essential supplies.</li> </ul> | <p><b>04/10/2020</b></p> <p>Review Summary: No change to risk rating. The Strategic Brexit Risk Register and associated contingency plans are still in place. Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p><b>28/06/2020</b></p> <p>1st Qtr 20/21. Review Summary: Due to the impact of the COVID-19 outbreak UK Government preparations for Brexit have advanced at a slower pace. There is currently a lack of clarity over what, if any, trade deal might emerge from negotiations, as well as the measures the UK Government will take to mitigate disruption. This combined with the wider impact and current unknowns associated with COVID-19 has seen both the inherent and residual rating of this risk increase. The Strategic Brexit Risk Register and associated contingency plans are still in place. Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p><b>12/04/2020</b></p> <p>4th Qtr 19/20 Review Summary: No change to risk rating. The Strategic Brexit Risk Register is still in place, and Powys County Council continue to work with our partner agencies, Welsh Local Government Association, and Welsh Government to ensure that we are aware of, and acting to the latest advice and guidance.</p> <p><b>12/01/2020</b></p> | Cllr Rosemaire Harris<br><br>Nigel Brinn | 16       | 12       | <ul style="list-style-type: none"> <li>• Close monitoring</li> <li>• Continue to monitor economic indicators</li> <li>• Ongoing dialogue with external advisers</li> <li>• Cabinet briefed</li> <li>• Advice from pension advisers</li> <li>• Continue to work with WEFO</li> <li>• Brexit Continuity Plan</li> <li>• Brexit Risk Register</li> </ul> | <ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> <li>Control In Place</li> </ul> |

Tudalen 121

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 122             |                 |                       | <p>3rd Qtr 19/20 Review Summary: Following the successful vote on the 2nd reading of the Withdrawal Agreement Bill, the Prime Minister confirmed that Operation Yellowhammer should be halted with immediate effect due to the decreased likelihood of the UK leaving the EU without a deal on 31 January 2020. This means that the operational phase of Yellowhammer will not now be stood up in January 2020 and no further preparation is needed for a no deal exit on 31 January 2020.</p> <p>However, whilst we are standing down no deal preparations, Powys County Council are continuing to work to ensure that any adverse impacts of Brexit are mitigated as far as possible. Powys County Council are also working to identify opportunities to the organisation that may arise from Brexit. Work has been done to ensure that citizens are best placed to understand the changes that Brexit will bring.</p> <p>At this stage we are now awaiting guidance from the Welsh Local Government Association (WLGA) and Welsh Government, to ensure that we are best placed for the transition period. A Strategic Brexit Risk Register is held, and reviewed by the Strategic Brexit Coordination Group.</p> <p><b>06/10/2019</b><br/>_____</p> <p><b>07/07/2019</b><br/>_____</p> <p><b>07/04/2019</b><br/>_____</p> <p><b>31/03/2019</b><br/>_____</p> <p><b>03/03/2019</b><br/>_____</p> |                             |          |          |                      |        |

| Strategic Risk Register        |  |   |  | Portfolio   | Inherent | Residua | Controls and Actions   |   |
|--------------------------------|--|---|--|---|----------|---------|--|---|
| Ref & Owner                    | Risk Identified  | Potential Consequence   | Last Reviews   | Director or Head of Service                         |          |         | Control or Action  | Status  |
| PCC0003<br><br>Caroline Turner | The council receives a negative regulatory / inspection report | <ul style="list-style-type: none"> <li>- Meeting regulatory and legislative duties</li> <li>- Ability to provide a good quality of service to service users</li> <li>- Managing demand on the service</li> <li>- Recruitment and retention of staff</li> <li>- Staff morale</li> <li>- Reputational damage</li> </ul> | <p><b>04/10/2020</b></p> <p>Qtr 2 20/21. Review Summary: Care Inspectorate Wales (CIW) Monitoring Visit held week 14th September 2020, but outcome letter has not yet been received. This risk will be reviewed following the CIW Improvement Conference on the 9th October, and the Estyn Improvement Conference on the 18th-19th November.</p> <p><b>28/06/2020</b></p> <p>1st Qtr 20/21 Review Summary: Publication of the Sean Harriss report has been delayed due to Covid, but we expect WG to publish during the Summer of 2020. Powys County Council is currently establishing new improvements and assurance arrangements in place, as part of the transitional arrangements, in anticipation of WG bringing the current Improvement and Assurance Board to an end later this year.</p> <p>We are awaiting the outcome of the recent joint inspection of Mental Health Services by HIW and CIW. Regular meetings continue to be held with Estyn and CIW. CIW will be undertaking monitoring visits during this quarter, with a view to undertake an Improvement Conference during the Autumn.</p> <p><b>22/03/2020</b></p> <p>4th Qtr 19/20 Risk Review Summary: WG have commissioned Sean Harriss to undertake a review of the council's progress along its improvement journey since the Harriss review in Jan 2018. The review was undertaken during in Feb/March 2020, and will be published by WG in due course. All Inspections are suspended due to Covid-19, including the Improvement Conference that had been arranged for Adult Services by CIW.</p> | <p>Cllr Rosemaire Harris</p> <p>Caroline Turner</p> | 20       | 16      | <ul style="list-style-type: none"> <li>• Improvement and assurance board</li> <li>• Improvement plans</li> <li>• Communications strategy (internal/external)</li> <li>• close working relationships with regulators</li> <li>• corporate support provided to services</li> <li>• close working relationship with WG</li> </ul> | <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> <p>Control In Place</p> |

Tudalen 123

| Strategic Risk Register |                 |                       |   | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|---|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews  | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 124             |                 |                       | <p><b>05/01/2020</b></p> <p>3rd Qtr 19/20. Review Summary: On behalf of Caroline Turner: Regulatory Services continue to receive a high level of scrutiny and support across the Council. Robust support and challenge arrangements continue to be in place for Social Services, and are now in place for Education Services under the auspices of the Improvement and Assurance Board, as well as the Leader's Monthly Group Leaders meetings, and Scrutiny Committee arrangements. We are also ensuring that improvements in Housing are prioritised so that we can quickly demonstrate compliance with regulatory requirements. Whilst progress is being made in all areas this will continue to be a key focus for the Council for the rest of 2020.</p> <p><b>08/09/2019</b></p> |                             |          |          |                      |        |
|                         |                 |                       |   |                             |          |          |                      |        |

| Strategic Risk Register    |  |  |  | Portfolio   | Inherent | Residua | Controls and Actions  |  |
|----------------------------|--|--|--|---|----------|---------|---|--|
| Ref & Owner                | Risk Identified  | Potential Consequence  | Last Reviews   | Director or Head of Service                       |          |         | Control or Action   | Status   |
| PCC0005<br><br>Nigel Brinn | The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic | Increased staff absenteeism;<br>Increase demand for services from residents<br>Increased workload for council staff as a result of staff absence and increased service demand<br>Closure of Council premises resulting in reduced services to residents and office accommodation | <p><b>04/10/2020</b></p> <p>2nd Qtr 20/21.<br/>Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. The risks captured in this assessment include:<br/>Increase in services demands<br/>Financial impact on the council<br/>Availability of Personal Protective Equipment<br/>Reopening of Schools<br/>Safeguarding<br/>Workforce absence<br/>Delivery of Test Trace and Protect in conjunction with PTHB</p> <p>There are mitigating actions in place for all the risks identified and the risk register is reviewed weekly by the Council's internal GOLD Command Group (part of the Council's Emergency Response arrangements).</p> <p><b>12/07/2020</b></p> <p>Admin: amended review date from auto system setting it.<br/><b>21/06/2020</b></p> <p>Review Summary: The Council has developed a separate risk register for the Coronavirus pandemic. The risks captured in this assessment include:<br/><br/>Increase in services demands<br/>Financial impact on the council<br/>Availability of Personal Protective Equipment<br/>Distance learning for pupils<br/>Childcare provision<br/>Safeguarding<br/>Workforce absence</p> <p>There are mitigating actions in place for all the risks identified and the risk register is reviewed weekly by the Council's internal GOLD Command Group (part of the Council's</p> | Cllr<br>Rosemaire<br>Harris<br><b>Nigel Brinn</b> | 25       | 20      | <ul style="list-style-type: none"> <li>Update Business Continuity Plans (at Service and Corporate Level);</li> <li>Establishment of an Internal Silver Command</li> <li>Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command;</li> <li>Liaison with all Local Resilience Forum (LRF) Partners;</li> <li>PCC Liaison with Welsh Government and Public Health Wales;</li> <li>Communication and engagement with schools.</li> <li>Communications to residents, staff and members</li> </ul> | Action Completed<br>Control In Place<br>Control In Place<br>Control In Place<br>Control In Place<br>Control In Place |

Tudalen 125

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews                                   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 126             |                 |                       | Emergency Response arrangements)<br>03/05/2020 |                             |          |          |                      |        |



| Strategic Risk Register   |   |   |   | Portfolio                                   | Inherent | Residua | Controls and Actions  |   |
|---|---|---|---|---|----------|---------|---|---|
| Ref & Owner   | Risk Identified   | Potential Consequence   | Last Reviews  | Director or Head of Service                 |          |         | Control or Action   | Status  |
| PPPP0007<br><br>Gwilym Davies<br><br>Escalated From :- Property, Planning, and Public Protection<br><br>Tudalen 127 | Heart of Wales Property Services (HOWPS) being unable to undertake contracted work in a timely and cost effective manner. | <ul style="list-style-type: none"> <li>- Failure of statutory functions - Compliance.</li> <li>- Failure to perform repairs and maintenance.</li> <li>- Failure to achieve projected savings.</li> <li>- Reputational damage to PCC.</li> <li>- Cost to PCC for poor performance.</li> <li>- Officer time costs (due to additional workload).</li> <li>- Financial Risk to HRA and wider Authority.</li> <li>- Critical Wales Audit Office Report.</li> <li>- Non-delivery of key projects due to lack of resources.</li> </ul> | <b>27/09/2020</b><br><br>Qtr 2 20/21 Review Summary: - Continued monitoring of HOWPS performance via monthly Contract Management Forum, weekly service area meetings with HOWPS, internal working groups on specific areas of concern, Compliance Boards and regular Cabinet/EMT updates.<br><b>12/07/2020</b><br><br>1st Qtr. 20/21: Review Summary:<br><ul style="list-style-type: none"> <li>• Continued monitoring of HOWPS performance via monthly Contract Management Forums and Compliance Boards.</li> <li>• Additional monitoring now in place of HOWPS performance with service-specific meetings to monitor various issues including statutory testing, complaints, asbestos tracking, void management and the inspection and servicing of domestic heating systems.</li> <li>• A Rectification Plan has been received from HOWPS for services, provided for both Corporate and Housing.</li> </ul> <b>03/05/2020</b><br><br>4th Qtr. 19/20: Review Summary:<br><br>The performance of HOWPS is continued to be monitored closely via the monthly Contract Management Forums and additional monitoring mechanisms with HOWPS such as 1) Weekly compliance meetings 2) Weekly legionella meetings 3) Monthly/Weekly asbestos monitoring. Also additional monitoring meetings within PCC have been set up.<br><br>The Corporate Compliance rectification plan is being monitored and at the end March, HOWPS are broadly on track with the rectification plan, but supply chain issues | Cllr Phyl Davies<br><br><br><br>Nigel Brinn | 12       | 12      | <ul style="list-style-type: none"> <li>• Performance monitoring</li> <li>• Utilisation of contract document to escalate issues.</li> <li>• Potential to invoke step in clauses for specific parts of the contract in line with contract</li> <li>• Development of evidence and fall-back systems</li> <li>• Introduced weekly officer level meetings</li> <li>• Development of contingency plans for contract failure</li> <li>• Head of Service on HOWPS Board of Directors.</li> <li>• Portfolio Holder on HOWPS Board of Directors.</li> <li>• Escalation of risk and concerns to Chief Executive and Strategic Directors.</li> <li>• Recovery plan submitted by Kier on behalf of HOWPS.</li> <li>• Additional resources allocated by Kier (3.5 FTE Change Managers).</li> <li>• Close monitoring by Directors/Portfolio Holder/Chief Executive/Strategic Directors.</li> <li>• Awaiting consultation resource plan.</li> </ul> | Action In Progress<br><br>Action In Progress<br><br>Action In Progress<br><br>Action In Progress<br><br>Action In Progress<br><br>Action In Progress<br><br>Control In Place<br><br>Control In Place<br><br>Control In Place<br><br>Control In Place<br><br>Control In Place<br><br>Control In Place<br><br>Withdrawn |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 128             |                 |                       | <p>due to COVID – 19 has meant that targets within the Rectification plan has been narrowly missed.</p> <p>HOWPS are now utilising a new Compliance Tracker which is much easier to use and compliance can be easily identified across buildings and across tests.</p> <p>PCC have had to audit the information within the Tracker to ensure that the information is correct – This is putting extra pressure on the Strategic Property, but is necessary to ensure that the information being given to PCC is correct.</p> <p>Additional monitoring has been put in place to audit the access of the Alpha Tracker Database (asbestos information) to ensure that Alpha Tracker is accessed before every job is started. Our monthly audit has identified gaps in this access procedure, therefore this has been increased to weekly monitoring.</p> <p>Issues with Legionella Monitoring, information has not been sent to PCC by HOWPS. Clarification over roles and responsibilities is underway to ensure that risks are assessed and actioned.</p> <p><b>12/01/2020</b></p> <hr/> <p>3rd Qtr. 19/20: Review Summary:</p> <ul style="list-style-type: none"> <li>Continued monitoring of HOWPS performance via monthly Contract Management Forums.</li> <li>Additional monitoring now in place of HOWPS performance with service-specific meetings to monitor various issues including statutory testing, complaints, asbestos tracking, void management and the inspection and servicing of domestic heating systems.</li> <li>A Rectification Plan has been received from HOWPS for services, provided for both Corporate and Housing, which are falling</li> </ul> |                             |          |          |                      |        |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residual | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|----------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |          | Control or Action    | Status |
| Tudalen 129             |                 |                       | <p>below the acceptable performance level.<br/>The Rectification Plan in its original form was rejected by the Council. A revised Rectification Plan is now awaited from HOWPS.</p> <p><u>06/10/2019</u></p> <p><u>07/07/2019</u></p> <p><u>07/04/2019</u></p> |                             |          |          |                      |        |

| Strategic Risk Register  |   |   |  | Portfolio   | Inherent | Residua | Controls and Actions  |  |
|--|---|---|--|---|----------|---------|---|--|
| Ref & Owner  | Risk Itentified   | Potential Consequence   | Last Reviews   | Director or Head of Service                       |          |         | Control or Action   | Status   |
| WO0021<br><br><b>Paul Bradshaw</b><br><br><b>Escalated From</b> :-<br>Workforce and Organisation Development<br><br><b>Tudalen 130</b> | Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires | Council is unable to secure the services needed by the local population, including care and assessment provision, education, waste, highways, housing culture and support services. | <p><b>04/10/2020</b></p> <p>2nd Qtr 20/21 Review Summary: On behalf of Ness Young. The RPB Workforce Futures Strategic Framework is in place and is being implemented.</p> <p>The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented.</p> <p>The Council has established an apprenticeship programme which is being progressed albeit progress has been impacted by the COVID19 pandemic</p> <p>In Children's Services a grow your own programme is in place and being expanded in respect of social workers.</p> <p><b>12/07/2020</b></p> <p>Review Summary: 1st Qtr 20/21. On behalf of Paul Bradshaw. The Council continues to respond to the current coronavirus pandemic by invoking its business continuity plans which means that we continue to focus on delivering business critical activities. As part of this response we continue to redeploy employees to business critical services.</p> <p>The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.</p> <p><b>03/05/2020</b></p> <p>4th Qtr 19/20 Review Summary: In quarter 4 the Powys Regional Health Board published its Strategic Framework for the Health and Care workforce in Powys.</p> <p>The Council responded to the current coronavirus pandemic by invoking its business continuity plans which means that we are focused on delivering business critical activities. As part of this response</p> | Cllr<br>Graham Breeze<br><br><b>Alison Bulman</b> | 25       | 20      | <ul style="list-style-type: none"> <li>Improving skills and supporting people to get good quality jobs</li> <li>Improving education attainment of all pupils</li> <li>Improving the skills and employability of young people and adults</li> <li>Build better connections with Powys schools &amp; universities within Wales &amp; just across the border in order to attract students</li> <li>Developing digital solutions and services</li> <li>Formal partnership with the Open University and secondment of students</li> <li>Developing a health and care workforce for the future</li> <li>Developing a workforce strategy which ensures Council is an excellent employer</li> <li>Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/l</li> <li>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t</li> <li>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk</li> <li>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care ro</li> <li>Conduct research to understand the workforce profile in health and social care</li> <li>Promoting Powys as a place to live, visit and do business</li> <li>Support communities to be able to do more for themselves and reduce demand on public services</li> <li>increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches</li> <li>Telehealth and telecare</li> </ul> | <ul style="list-style-type: none"> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> <li>Action In Progress</li> </ul> |

| Strategic Risk Register |                 |                       |  | Portfolio                   | Inherent | Residua | Controls and Actions |        |
|-------------------------|-----------------|-----------------------|--|-----------------------------|----------|---------|----------------------|--------|
| Ref & Owner             | Risk Identified | Potential Consequence | Last Reviews   | Director or Head of Service |          |         | Control or Action    | Status |
| Tudalen 131             |                 |                       | <p>we are redeploying employees to business critical services.</p> <p>The implementation of the council's workforce strategy and the RPB Workforce Futures Strategic Framework will resume when we return to business as usual.<br/><b>19/01/2020</b></p> <p>3rd Qtr 19/20. Review Summary: In Quarter 3 the Council published its workforce strategy and as part of the RPB we have produced a final draft of the Workforce Futures Strategic Framework for the Powys health and social care workforce.</p> <p>The Council has mapped current activity around skills development across the county and has recently met colleagues from Ceredigion Council and agreed to develop a skills strategy for the Mid Wales Region, aligned to the Mid Wales Growth Deal.</p> <p>The Council has launched an apprenticeship talent pool and a joint apprenticeship programme with Powys Teaching Health Board.</p> <p>An action plan has also been develop to improve the recruitment and retention of Qualified Social Workers in Children's Services.<br/><b>29/09/2019</b></p> <p><b>08/09/2019</b></p> <p><b>05/05/2019</b></p> <p><b>03/02/2019</b></p> |                             |          |         |                      |        |

Mae'r dudalen hon wedi'i gadael yn wag yn fwiadol

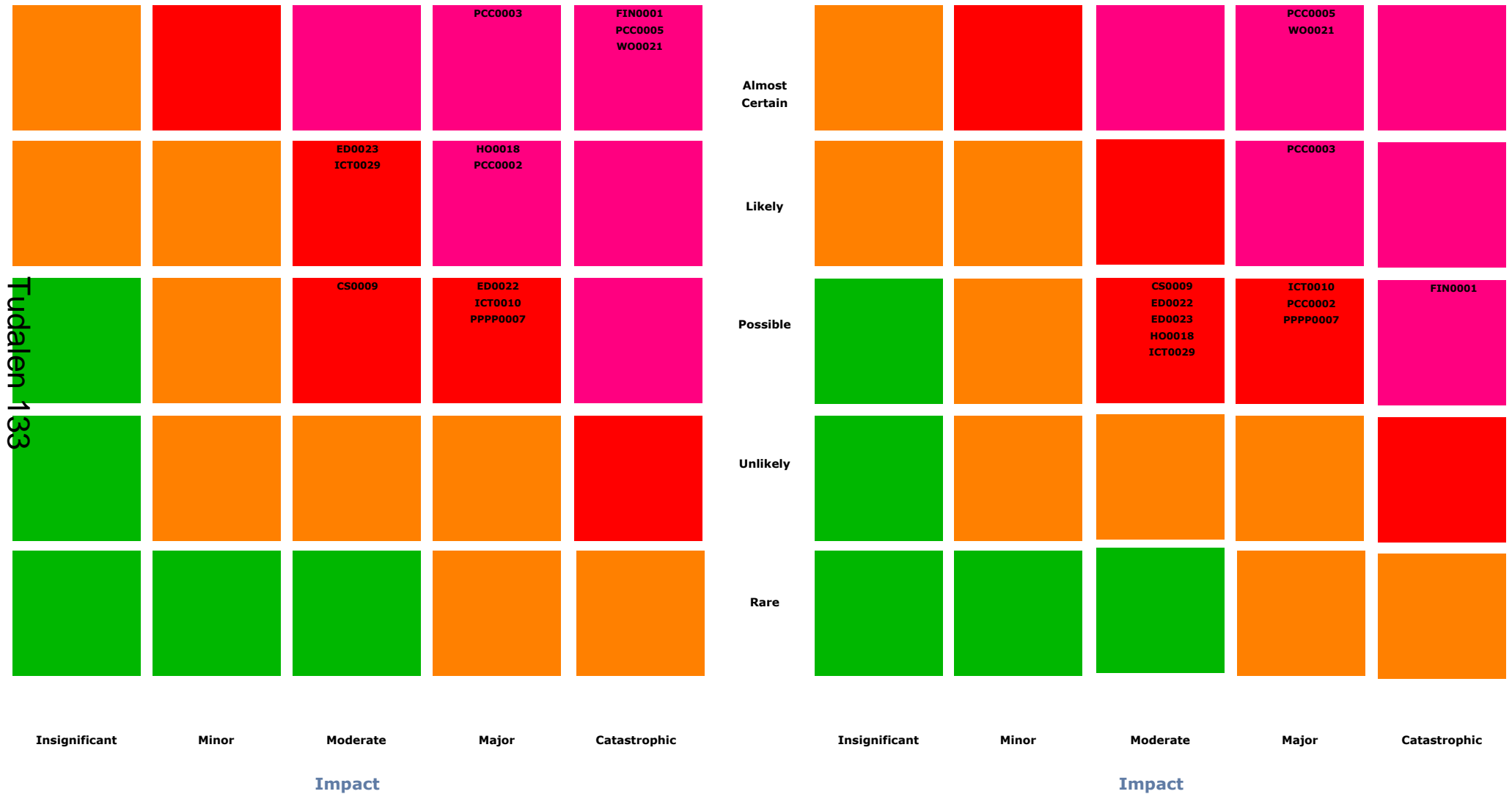
# Heatmap Inherent and Current



Inherent Ratings Summary Heatmap

Residual Ratings Summary Heatmap

Probability



Tudalen 133

## Detailed Risk Information

Residual and Target Rating Changes since 22/04/2020

| Risk Ref | Risk Identified  | Owner            | Service Area                              | Prev Inherent Rating | ->             | Inherent Rating | Prev Residual Rating | ->              | Residual Rating |
|----------|--|------------------|---|----------------------|----------------|-----------------|----------------------|-----------------|-----------------|
| PCC0005  | The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic   | Nigel Brinn      | Powys County Council                      | 25                   | →              | 25              | 20                   | →               | 20              |
| WO0021   | Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires  | Paul Bradshaw    | Workforce and Organisation Development    | 25                   | →              | 25              | 20                   | →               | 20              |
| PCC0003  | The council receives a negative regulatory / inspection report   | Caroline Turner  | Powys County Council                      | 20                   | →              | 20              | 16                   | →               | 16              |
| FIN0001  | The Council is unable to deliver a financially sustainable budget over the sort and medium term. The probability of this risk is heightened due to the impact of the Covid-19 pandemic and its impact on Welsh Government funding and subsequent settlements to the Council.         | Jane Thomas      | Financial Services                        | 16                   | ↗ <sub>9</sub> | 25              | 9                    | ↗ <sub>6</sub>  | 15              |
| PCC0002  | The impact on the Council as a result of Brexit.   | Andrea Mansfield | Powys County Council                      | 12                   | ↗ <sub>4</sub> | 16              | 9                    | ↗ <sub>3</sub>  | 12              |
| ICT0010  | Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018  | Helen Dolman     | Digital Services                          | 12                   | →              | 12              | 12                   | →               | 12              |
| PPPP007  | Heart of Wales Property Services (HOWPS) being unable to undertake contracted work in a timely and cost effective manner.  | Gwilym Davies    | Property, Planning, and Public Protection | 12                   | →              | 12              | 12                   | →               | 12              |
| HO0018   | Compliance in Powys County Council Housing Stock   | Andy Thompson    | Housing                                   | 16                   | →              | 16              | 16                   | ↘ <sub>-7</sub> | 9               |
| ED0024   | The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners. | Lynette Lovell   | Education                                 | 12                   | →              | 12              | 9                    | →               | 9               |
| ED0023   | The council fails to make the necessary improvements in response to Estyn recommendations.   | Lynette Lovell   | Education                                 | 12                   | →              | 12              | 9                    | →               | 9               |
| ICT0029  | Cyber Security Threat. Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident.  | Julie Davies     | Digital Services                          | 12                   | →              | 12              | 9                    | →               | 9               |
| CS0009   | Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services   | Jan Coles        | Children's Services                       | 9                    | →              | 9               | 9                    | →               | 9               |

### Report Selection Criteria

( REP\_RECORD\_CROSSCUT.Business Unit Code = @StrategicBusinessUnitCode AND ( REP\_RECORD\_CROSSCUT.Status Flag <> "WITHDRAWN" ) )  
and REP\_RECORD\_CROSSCUT.Record Type=1



## CYNGOR SIR POWYS COUNTY COUNCIL.

## CABINET EXECUTIVE

3<sup>rd</sup> November 2020

**REPORT AUTHOR:** County Councillor Aled Davies  
Portfolio Holder for Finance

**REPORT TITLE:** Financial Forecast for the year ended 31st March 2021  
(as at 30<sup>th</sup> September 2020)

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**REPORT FOR:** Information

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### 1. Purpose

1.1 To provide Cabinet with an updated assessment of the projected year end financial position, and the ongoing impact the Covid 19 pandemic is having on the Council's revenue budget for 2020/21.

### 2. Background

2.1 The pandemic has had a considerable impact on the Councils budget this year, the financial forecast at quarter one was a deficit of £12.515 million before the full scale of support from Welsh Government was identified. The Council is now drawing down this support and has assurances about it being maintained until the end of the year. Budget holders have also taken corrective action to reduce costs in order to limit the financial impact on the budget.

2.2 The full year projected deficit reported at the end of the second quarter has reduced to £7.582 million (£5.993 million with the inclusion of schools and the HRA). However, there are assurances from Heads of Service that they can deliver further cost reductions in the second half of the year and this coupled with further claims for lost income from Welsh Government will reduce the forecast outturn deficit to £2.843 million, (a projected deficit of £1,154 million including HRA and Schools).

2.3 Appendix A provides a breakdown of the financial position for each service, broken down into categories covering cost pressures, cost underspends, service reductions and loss of income.

### 3. Revenue Forecast

3.1 Table 1 below summarises the projected full year position across the Council's services including HRA and delegated schools. Further detail for each service area is provided in Appendix A and Heads of Service set out their individual narrative that explains their financial position and activities being undertaken in Appendix B.

**Table 1 – Summary Forecast**

|                  | £'000    |
|------------------|----------|
| Base Budget      | 269,440  |
| Cost Pressures   | 6,909    |
| Cost Underspends | (11,326) |

|                                  |                |
|----------------------------------|----------------|
| Cost Reductions Shortfall        | 5,152          |
| Lost Income                      | 5,258          |
| <b>Forecast Outturn</b>          | <b>275,433</b> |
| Overspend                        | 5,993          |
| Mitigating Actions to reduce gap | (4,839)        |
| <b>Overall Gap</b>               | <b>1,154</b>   |

#### 4. Cost reductions

4.1 In March 2020 the Council approved cost reduction proposals of £10.79 million. In addition, undelivered cost reductions in 2019/20 of £1.60 million have been rolled forward for delivery in the current year. This increases the value of cost reductions required during 2020/21 to £12.393 million.

4.2 The summary at Table 2 shows that 60% or £7.417 million have been delivered and a further 25% £3.075 million are assured of delivery by Service Heads of Service. £1.901 million, 15% are unachieved and are at risk of delivery.

**Table 2 – Cost Reductions Summary**

| Service   | £'000 | To Be Achieved | Actually Achieved | Assured      | Un-achieved  | % Achieved |
|---|-------|----------------|-------------------|--------------|--------------|------------|
| Adult Services                                  |       | 4,070          | 2,283             | 1,713        | 74           | 56%        |
| Childrens Services                              |       | 2,496          | 1,377             | 546          | 572          | 55%        |
| Digital Services                                |       | 771            | 468               | 303          | -            | 61%        |
| Education                                       |       | 701            | 701               | -            | -            | 100%       |
| Finance   |       | 426            | 276               | -            | 150          | 65%        |
| Central Activities                              |       | 870            | 1,000             | 45           | (175)        | 115%       |
| Highways Transport & Recycling                  |       | 1,109          | 405               | 306          | 398          | 37%        |
| Housing & Community Development<br>Regeneration |       | 218            | 143               | -            | 75           | 66%        |
| Legal & Democratic Services                     |       | 326            | 135               | -            | 191          | 41%        |
| Property, Planning & Public Protector           |       | 331            | 169               | 8            | 155          | 51%        |
| Transformation and Communication                |       | 784            | 366               | 89           | 329          | 47%        |
| Workforce & OD                                  |       | 85             | 85                | -            | -            | 100%       |
| <b>Total</b>                                    |       | <b>12,394</b>  | <b>7,417</b>      | <b>3,075</b> | <b>1,901</b> | <b>60%</b> |

#### 5. Reserves

5.1 The Reserves position at Table 3 below sets out the reserve balance as at 30<sup>th</sup> September 2020. The opening reserves stand at £32.5 million, with the general reserve £9.472 million representing 5.1% of total net revenue budget (excluding Schools and the HRA for 2019/20).

Table 3 – Reserves

| Summary                               | Opening Balance (1st April 19) Surplus / (Deficit) | Forecast Addition / (Use) of Reserves | Forecast (Over) / Under Spend (as per ledger) | Projected Balance (31st March 20) Surplus/ (Deficit) |
|---------------------------------------|--|---------------------------------------|---|--|
| General Fund                          | 9,472  | (70)                                  | 0   | 9,402  |
| Budget Management Reserve             | 3,584  | 0                                     | 0   | 3,584  |
| Specific Reserves                     | 7,523  | (1,401)                               | (59)  | 6,063  |
| Transport & Equipment Funding Reserve | 9,266  | (5,675)                               | 0   | 3,591  |
| Schools Delegated Reserves            | (889)  | (1,245)                               | 134   | (2,000)  |
| School Loans & Other Items            | (371)  | 7                                     | 0   | (364)  |
| Housing Revenue Account               | 3,918  | (1,379)                               | 1,456   | 3,995  |
| <b>Total</b>                          | <b>32,503</b>                                      | <b>(9,763)</b>                        | <b>1,531</b>                                  | <b>24,271</b>  |

5.2 Although the overall budget deficit is still uncertain, the use of some reserves is now likely. In order to maintain the current 3% minimum level of general reserve, which is set out in the Reserves Policy, a maximum of £3.829 million could be used to bridge the deficit. This position will continue to be reviewed as we move through the coming months.

5.3 The Housing Revenue Account business plan planned to utilise £1.379 million of reserves, but this position has now reverted to a contribution to reserves, a net movement of £77,000.

5.4 The breakdown of the schools balances and the required call on reserve is set out below at Table 4. These figures are based on the latest three year projections provided by all schools.

Table 4 – School Reserve Requirements in Year

| School Sector<br>£'000 | Opening Balance<br>31/3/20 | Budgeted Contribution/<br>(Use) in 2020-21 | Forecast Variation<br>to/(from)<br>reserves | Closing Balance<br>31/3/21 |
|------------------------|----------------------------|--|---|----------------------------|
| Primary                | 2,646                      | (561)                                      | (60)  | 2,025                      |
| Special                | (124)                      | 245  | (138)                                       | (17)                       |
| Secondary              | (3,432)                    | (930)                                      | 332   | (4,030)                    |
| <b>Total</b>           | <b>(910)</b>               | <b>(1,245)</b>                             | <b>134</b>                                  | <b>(2,022)</b>             |

5.5 School Budgets and the level of deficit continues to be a significant risk that must be addressed. The opening position on the Schools Delegated Reserves was a deficit balance of £910,000. Current projections predict a further draw on reserves of £1.111 million for 2020/21. A number of these schools have unapproved deficits and have been issued with Notices of Concern as part of compliance work, and further intervention has been taken at some schools with the issue of formal warning notices reinforcing the need for Governing Bodies to put in place the appropriate action to bring their budgets back into line.

5.6 Any use of reserves should be carefully considered and a balanced approach adopted that assesses the current impact of using reserves against future financial resilience. All other measures to manage the deficit down should be taken first.

## **6. Welsh Government Support**

- 6.1 The Welsh Government Local Authority Hardship Fund has been established to cover the additional costs the Council and its stakeholders are incurring due to the Covid Pandemic. It supports the additional cost associated with Social Care, Homelessness, PPE, Free School Meals, general additional expenses and the Mortuary Facility.
- 6.2 Thus far the Council have received over £6 million in funding to cover the cost of specific spending items. In addition, funding has been claimed for the loss of income for quarter one, totalling £1.5 million. The claim for quarter 2 will be submitted to Welsh Government in early November.
- 6.3 The council has been requested to assist Welsh Government in administering hardship payments to Town and Community Councils. These payments will be processed with the precept payments.
- 6.4 Welsh Government has made nearly £500 million of additional funding available to councils through the local government hardship fund as well as making some other funding available including for example in relation to extra funding for teachers for catch up support from education and cleaning materials for schools. This has mitigated local councils' additional costs and income losses to date, but depending on the future course of the pandemic, there may still be a significant funding shortfall for local authorities during 2020-21.

## **7. Key Financial Risks**

- 7.1 The key financial Risks were identified in the quarter 1 report and these remain. These are included in the Corporate and Covid Specific Risk Registers and continually monitored and assessed.
- 7.2 The greatest risk remains on our ability to deliver a balanced budget for the current and future years, we have to continue to limit the deficit and the wider impact on our reserves. This is fundamental in supporting our financial resilience over the Medium and Longer Term and our ability to approve and deliver balanced budgets.
- 7.3 Treasury Management, maintaining the Councils cash flow to meet liabilities, is also under close scrutiny and continues to be monitored on a daily basis. We must ensure that the Council has sufficient liquidity to meet its immediate costs such as salaries and wages, HMRC taxation, and maintaining payment to suppliers and precepting authorities. The current position remains stable.
- 7.4 The Council remains under borrowed as we continue to utilise our cash reserves to underpin our cashflow. We have the ability to borrow both in the short to medium or long term, our approach is regularly updated and explained as part of the Treasury Management update to Audit Committee.

7.5 Although originally highlighted as a risk the Statement of Accounts for both the Council and the Pension Fund were completed and signed off by the Section 151 Officer and submitted to the Audit Wales by the statutory deadline of the 15<sup>th</sup> June. The accounts for the Council have since been approved by the Audit Committee following the receipt of an unqualified audit opinion by the Auditor General. The audit of the Pension Fund accounts continues but it is anticipated that these will be considered by the Audit Committee on the 19<sup>th</sup> November, this will be within the statutory deadline.

## **8. Virements**

8.1 A virement of £635,000 is recommended to Council for approval to fund the additional 0.75% pay award for NJC staff across the council, this will be funded from the central Risk Budget.

8.2 Virements are also required for new grants that have been received in Quarter 2 2020/21:

- Adult Community Learning – Increase of grant from £128,170 to £170,172
  - ALN Transformation - £135,227 – to support the service
  - Building a Healthier Wales - £3,973 - The priority is to improve mental health and resilience within schools; especially relating to early identification and prevention.
  - Digital Exclusion – Capital ICT - £12,783 – To provide up to date portable equipment for adult learners in remote community locations.
  - E-sgol - £39,611 - Schools delegated secondary support
  - Infant Class Size Grant - £169,694 - To reduce infant classes in the schools to benefit from classes of less than 30 pupils.
  - LA Education Grant - £1,199,474 – split across ALN (£278,526), Accelerated Programme (£519,502), Additional counselling (£47,672), cleaning supplies (£33,108), EHE (£24,791), MEGRT (£139,251), PDG Access (£97,700) & Wellbeing (£58,924).
  - PDG LAC - £144,025 – To support learners who are eligible for FSM and educated in maintained schools
  - Period Dignity - £141,503 - Ensuring access to period products, free of charge and accessible in the most practical and dignified way possible.
  - Post 16 – Recruit, Recover & Raise Standards - £188,857
  - Seren Grant - £33,000 – To support the continuing activities of our Seren Academy Network Hub.
  - Small & Rural Schools - £378,108 - To help schools and local authorities drive up standards in small and rural schools in Wales
- 8.3 A Virement to move unused grant that has been drawn down from the capital grant unapplied reserve back out into the revenue account in the following areas, which will be used to support those services applicable to the grant:

- £76,300 Army Covenant Grant Community Regeneration

- £18,800 Consumer Fraud Team
- £334,000 Supporting People Grant -Social Care

## **9. Resource Implications**

**The Head of Finance (Section 151 Officer) has provided the following comment:**

It is clear that the virus and the measures imposed continue to have an unprecedented detrimental financial impact on the Council and this is likely to continue throughout 2020-21 and into future years.

The financial support provided by Welsh Government has been significant and has been instrumental in reducing the level of deficit previously reported. Further support is available and confirmed, but this is of course dependant on how much support is required across all authorities in Wales within the limit of the fund, so risk remains.

The Council must continue to take every opportunity to reduce costs and limit the financial impact on its budget, not only to address the deficit in the current year but to reduce the financial pressure on future years and ensure the sustainability of the Council.

The course of the pandemic and further measures or restrictions imposed through the remainder of the year, particularly as we move through the winter months, will continue to impact on our budget and careful monitoring of the position is critical to ensure that we take appropriate action to manage our financial position.

Our Medium Term Financial Strategy was already extremely challenging with significant budget gaps over the next 4 years. The financial plans are currently being reviewed, funding assumptions revisited, revised budget gaps calculated and clear plans of how we can bridge the gaps are being developed.

We cannot under estimate the significant challenge facing the Council in balancing the financial position over many years to come, there will be difficult choices to make, and the clear prioritisation of resources that deliver realistic outcomes is the key to our success.

## **10 Legal implications**

10.1 The Monitoring Officer has no specific concerns with this report.

## **11. Comment from local member(s)**

11.1 This report relates to all service areas across the whole County.

## **12. Integrated Impact Assessment**

12.1 No impact assessment required

## **13. Recommendations**

- 13.1 That Cabinet note the half year budget position and the projected full year position to the end of March 2021.
- 13.2 That the virements proposed in section 7 of the report are approved and the virement relating to the pay award is recommended to Council for approval.

|   |
|---|
| Contact Officer: Jane Thomas<br>Email: jane.thomas@powys.gov.uk<br>Head of Service: Jane Thomas<br>Corporate Director: Ness Young |
|---|

Appendix A – Forecast to year end as at 30<sup>th</sup> September 2020

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|   |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |                  | SEPTEMBER FORECAST                        |   |                           |                                 |                |
|---|---------------------|--|--------------------|-----------------------------------|------------------|--|------------------|---|---|---------------------------|---------------------------------|----------------|
|   |                     | Add  | + / -              | Add                               | Less             | Add  | Revised          | Less                                      | Less  | Final                     |                                 |                |
| £'000                                     | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                        | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast         | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | SEPT Budget Gap to be addressed |                |
| Adult Services                            | 63,361              | 2,029  | 230                | 79                                | (310)            | 1,787  | 67,176           | (79)                                      | (1,713)                                       | 65,384                    | (2,023)                         |                |
| Children's Services                       | 26,016              | 1,545  |                    | 0                                 | (708)            | 1,119  | 27,972           | 0   | (546)   | 27,425                    | (1,409)                         |                |
| Commissioning                             | 3,211               | 0  |                    | 0                                 | (73)             | 0  | 3,138            | 0   | 0   | 3,138                     | 73                              |                |
| Education                                 | 9,096               | 322  | (18)               | 206                               | (535)            | 0  | 9,072            | 0   | 0   | 9,072                     | 25                              |                |
| Highways Transport & Recycling + Director | 28,019              | 1,065  | (62)               | 2,275                             | (1,789)          | 703  | 30,211           | (675)                                     | (306)   | 29,231                    | (1,212)                         |                |
| Property, Planning & Public Protection    | 6,347               | 1,038  | (240)              | 1,182                             | (1,916)          | 418  | 6,830            | (500)                                     | (89)  | 6,241                     | 106                             |                |
| Regeneration                              | 626                 | 24   |                    | 0                                 | (124)            | 191  | 717              | 0   | 0   | 717                       | (91)                            |                |
| Housing & Community Development           | 4,032               | 34   | (87)               | 13                                | (265)            | 75   | 3,802            | 0   | 0   | 3,802                     | 230                             |                |
| Digital                                   | 3,905               | 104  |                    | 59                                | (210)            | 303  | 4,161            | 0   | (303)   | 3,858                     | 47                              |                |
| Transformation & Communication            | 1,531               | 37   | (28)               | 0                                 | (140)            | 0  | 1,400            | 0   | 0   | 1,400                     | 131                             |                |
| Track and Trace                           | 0                   | 93   | 272                | 0                                 | 0                | 0  | 365              | (365)                                     | 0   | 0                         | 0                               |                |
| Workforce & OD                            | 1,944               | 0  | (40)               | 40                                | (217)            | 199  | 1,926            | 0   | (67)  | 1,859                     | 85                              |                |
| Legal & Democratic Services               | 3,061               | 24   | (35)               | 140                               | (232)            | 162  | 3,120            | (25)                                      | (8)   | 3,087                     | (26)                            |                |
| Finance                                   | 5,692               | 28   | 7                  |                                   | (78)             | 150  | 5,799            | (20)                                      | 0   | 5,779                     | (87)                            |                |
| Corporate Activites                       | 31,234              | 459  |                    | 1,164                             | (2,932)          | 45   | 29,970           | 0   | (45)  | 29,925                    | 1,309                           |                |
|   |                     |  |                    |                                   |                  |  | 0                | 0   |   |                           |                                 |                |
| <b>Total</b>                              | <b>188,075</b>      | <b>6,438</b>   | <b>(0)</b>         | <b>5,133</b>                      | <b>(8,961)</b>   | <b>5,152</b>   | <b>195,657</b>   | <b>(1,663)</b>                            | <b>(3,075)</b>                                | <b>190,918</b>            | <b>(2,843)</b>                  |                |
| Housing Revenue Account                   | 0                   | 107  |                    |                                   | (1,563)          |  | (1,456)          |   |   | (1,456)                   | 1,456                           |                |
| Schools Delegated                         | 81,365              |  |                    | 100                               | (234)            |  | 81,231           |   |   | 81,131                    | 234                             |                |
| <b>Total</b>                              | <b>81,365</b>       | <b>107</b>   | <b>0</b>           | <b>100</b>                        | <b>(1,797)</b>   | <b>0</b>   | <b>79,775</b>    |   | <b>0</b>                                      | <b>79,675</b>             | <b>1,690</b>                    |                |
|   |                     |  |                    |                                   |                  |  |                  |   |   |                           |                                 |                |
| <b>Total</b>                              | <b>269,440</b>      | <b>6,545</b>   | <b>(0)</b>         | <b>5,233</b>                      | <b>(10,758)</b>  | <b>5,152</b>   | <b>275,432</b>   |   | <b>(3,075)</b>                                | <b>270,593</b>            | <b>(1,153)</b>                  |                |
| 2   |                     |  |                    |                                   |                  |  | <b>SHORTFALL</b> |   |   |                           | <b>(5,992)</b>                  | <b>(1,153)</b> |



## Head of Service Commentary

|                |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2021 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           | SEPT Budget Gap to be addressed |
|----------------|---------------------|---|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
|                |                     | Add   | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000          | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                       | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |                                 |
| Adult Services | 63,361              | 2,029   | 230                | 79                                | (310)            | 1,787  | 67,176   | (79)                                      | (1,713)                                       | 65,384                    | (2,023)                         |

**Adult Social Care** Overview**Cost Pressures**

Included in the forecast outturn are the following budget pressures:

- £0.862 million relating to the cost of providing home care of an additional 960 hours per week. These hours were identified as a cost pressure as part of 2020/21 budget setting process, but for over a year there had been a lack of human resource available to deliver these hours. Due to the recent economic situation there have been successful recruitment campaigns and all of these additional hours are now being delivered.
- Transitional costs relating to young adults transferring from Childrens Services of £0.780 million, who require ongoing care. These are part year costs, and the full year effect will be in excess of £1 million, again this was an unfunded pressure in the Financial Resources Model as part of the budget setting process.
- Due to the Covid-19 pandemic some Supported Living tenders were placed on hold and an agreed interim contract is in place which costs an additional £0.575 million. When the tender is advertised it will include the realignment of service user hours and the maximisation of enabled technology care which should reduce the overall cost.

**Future pressures Sept – March 2020** - Not included in the forecast outturn

- Following a risk assessment, Older People & Disability centre/services remain closed. Future need will be based on what matters conversations that are currently occurring which may result in increased costs/double running costs in the short term due to potential increase in bespoke 1:1 sessions which will be over and above current budgeted staffing levels.
- Unknown future impact of Covid 19 on services, are not included in the forecast and currently only clarity from Welsh Government (WG) re Hardship funding from September 2020 to March 2021. This relates to support to local authorities to maintain their commissioned and in-house adult social care placements.

- Winter pressures and potential demand on home-based care and interim bed options. future demand is unknown and to date still awaiting clarity with regards to WG funding
- Stability of commissioned providers, particularly the care home sector. There are currently 2+ providers who may be at risk of failure. At least one domiciliary care provider may require support or transfer of 500+ hours per week of care packages in the next few months.
- Future demography and any further Learning Disabilities Transitions form Children's services.
- Additional and backdated costs for "Sleep-ins" following the outcome of the judicial review, possibly backdated to November 2011. Awaiting judgement and liability to be calculated by the payroll team for the in-house service and legal direction re external providers.

### **Redeployment**

Following business continuity being evoked staff from other services areas within the Council have been redeployed to Social Care. To date this is a cost pressure of £0.230 million and the corresponding savings are available in other (substantive) service area budgets to balance.

### **Income**

A budget pressure of £79,000, has been included on the Q1 and Q2 claim to Welsh Government, but we are still awaiting approval. It is unknown if this level of lost income will remain for Q3 and beyond in 2020/21. This will depend on the continuity of services and client choice as family members return to work and changes in regard to shielding that have occurred in August.

### **Cost Underspends**

The service has only been recruiting in respect of frontline services, which has resulted in staff slippage due to vacancies and also a reduction in travel as face to face meetings have not been taking place.

### **Cost Reductions**

The original target of £4.070 million is currently on target to achieve delivery, of which £1.274 million of the original target to date achieved and included in the forecast outturn. There is assurance of delivery of a further £1.713 million, with £0.829 million of the original target set being unachievable due to business continuity being invoked. Mitigating actions as set out below have been put in place to balance the budget in terms of delivering the savings, of which £0.755 million to date has been delivered and included in our forecast. The budget pressure will be carried forward to 2021/22 and be part of FRM.

### **Lost income reclaimable from WG (possibly)**

No assumptions have been built into the forecast re lost income for beyond Q2, as very difficult to project as dependent on future delivery of services, Welsh Government funding decisions and service user choice.

### **Cost Reductions**

It is important to note that Social Services meets the eligible needs of Powys' residents and is a statutory duty of the Local Authority. Whilst the services provide highly regulated, statutory provision, it is paramount that Social Services can demonstrate value for money, ensuring that we are making best use of

resources in discharging our statutory duties.

During budget planning for this financial year it was confirmed that the Council would underwrite any demographic increased financial pressures. If this was honoured an additional £1m would be made available, enabling the service to significantly reduce the over-spend and would change the budget position for 2021/2 also. For instance, if the transitions of service users from children's services into adult services would be funded for 2020/21, as promised, then the budget pressure would be significantly reduced and the recurring impact would mean fewer pressures for 2021/22.

The ability to deliver the planned budget in this year has been hindered by the services having to prioritise both the response to Covid-19 and mission-critical activity. The impact has been both from increased demand and loss of income, which has been exacerbated by the inability to prioritise the delivery of the savings plan (including retendering of contracts).

Detail of actions to be undertaken to deliver a balanced budget in terms of achieving the cost reduction target in full:

| Proposal                               | Action   | Impact   | £K            | Timescales | Achieved to Period 6/Qtr 2 | To be achieved |
|--|--|--|---------------|------------|----------------------------|----------------|
| TEC                                    | To deploy (TEC) Technology Enabled Care in order to cost avoid £500k to adult social services in 2020/21. TEC includes lifelines emergency phones/alarms and sensors which support people to live independently in their own homes. These systems enable people to live at home for longer and for next of kin / informal carers to be assured of the individual's wellbeing.  | £45K has been achieved. An additional £20k target has been set.  | £20           | 2020/21    | £0                         | £20            |
| Tudalen Funding Body Review            | In line with Vision 2025, we are committed to developing pooled budgets and joint commissioning arrangements to ensure those in need of care receive a seamless service. This will include resolution of ordinary residence challenges and to work with health boards to support accessing correct funding for care.   | Have identified additional efficiencies through the live tracking value of continuing healthcare cases that we are currently addressing with PTHB. | £606          | 2020/21    | £0                         | £606           |
| 145 Re-commissioning / Decommissioning | We will continue to work in partnership with all service providers to review the way services are delivered in Powys to ensure that such services are accessible, of the right quality and at an affordable cost for all people who need to arrange their support. Alongside this, and to generate further efficiencies we will continue to promote reablement and recovery throughout all services to ensure that resulting support packages are appropriate to a people's needs. | Further target of £800k  | £670          | 2020/21    | £500                       | £170           |
| <i>Sub Total</i>                       |  |  | <b>£1,296</b> |            | £500                       | £796           |
| One Off                                | Direct Payment audits  | Clawback of unused resources   | £300          | 2020/21    | £206                       | £94            |
| <b>TOTAL</b>                           |  |  | <b>£1,596</b> |            | £706                       | £890           |

### Other mitigating actions to deliver a balanced budget

Changes in the Welsh Government guidance has now enabled Direct Payment audits to occur and the target budget set of £0.300 million is anticipated to be achieved by year end, this will be a one-off cost reduction. To date £0.206 million has been included in the forecast outturn. Therefore, if this plan is delivered the anticipated overspend for Adult Services will be £1.133 million.

|                     |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           | SEPT Budget Gap to be addressed |
|---------------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
| £'000               | 2020/21 Base Budget | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
|                     |                     | Cost Pressures not covered by Covid funding                        | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |                                 |
| Children's Services | 26,016              | 1,545  |                    | 0                                 | (708)            | 1,119  | 27,972   | 0   | (546)   | 27,425                    | (1,409)                         |

## Children's Services Overview

### Cost Pressures

- General issues around costs not funded by WG**

Real pressures have emerged in Children's Services due to an increase in demand during the pandemic and the impact of the reduction of services in the community such as health and leisure services. There has been an increase of circa 20% (compared with the same period last year) since May/ June time and this is being sustained. This surge is now flowing through the service into an increase in children subject to a child protection plan and children who are looked after.

- Future pressures Oct – March 2020**

- o Increase in decision making and practitioner capacity at the Front Door and in Early Help. It is unknown whether Welsh Government will fund this expenditure.
- o Number of children looked after is continuing to climb.

- Redeployment**

All Children's Services redeployment was managed within the service.

### Income

N/A

### Cost Underspends

All included in plans below.

### Cost Reductions

| <b>Set at Recovery Planning</b> | <b>Target</b>     | <b>Achieved</b>   | <b>To be achieved</b> |
|---------------------------------|-------------------|-------------------|-----------------------|
| Shared costs for placements     | £416,000          |                   | £416,000              |
| Placements                      | £1,023,260        | £956,520          | £66,740               |
| Travel                          | £53,000           | £53,000           |                       |
| Emergency Duty Team             | £25,000           |                   | £25,000               |
| Agency                          | £131,309          | £92,967           | £38,342               |
| <b>TOTAL</b>                    | <b>£1,648,569</b> | <b>£1,102,487</b> | <b>£546,082</b>       |

**Other mitigating actions to deliver a balanced budget**

Nothing further to offer at this stage all included above in recovery plans.

|               |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           |                                 |
|---------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
|               |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000         | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                        | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | SEPT Budget Gap to be addressed |
| Commissioning | 3,211               | 0  |                    | 0                                 | (73)             | 0  | 3,138    | 0   | 0   | 3,138                     | 73                              |

Commissioning Overview

The forecast outturn is due to staff slippage from vacancies and mileage underspends, due to home working and face to face meetings/contract monitoring not occurring. This underspend will mitigate the overspends in Adults & Children's services.

|           |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           | SEPT Budget Gap to be addressed |
|-----------|---------------------|---|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
|           |                     | Add   | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000     | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                       | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |                                 |
| Education | 9,096               | 322   | (18)               | 206                               | (535)            | 0  | 9,072    | 0   | 0   | 9,072                     | 25                              |

## Education Overview

### Cost Pressures

Known and quantified:

£322k overspend relating to remedial works identified as part of the assessment undertaken when schools re-opened in the summer term that had to be completed. This was undertaken successfully with all schools being able to open on time on the 29<sup>th</sup> June, enabling all schools to provide the opportunity for learners to Catch up, check in and Prepare for September 2020.

Future pressures September 2020 – March 2021

• Supply cover costs where classroom based staff must work from home as a result of risk assessment / Welsh Government guidance (eg maternity over 28 weeks) has now been confirmed to be funded through the hardship fund.

### Income

As early years settings, breakfast clubs and after school clubs did not open in the summer term, no income was received from them, however, staff costs continued to be incurred as many worked in the emergency childcare hubs and could not be furloughed. This is estimated at £215k. Claims have been submitted to WG for the first quarter's lost income have now been paid. The local authority operated 28 early years childcare hubs for key workers' children and for vulnerable children.

### Cost Underspends

- £195k underspend as a result of not making payments to non-maintained early years' settings for the summer term as they were closed;
- Approximately £74k underspend relating to vacant posts across the service, particularly within ALN / units
- £45k underspend forecast against the redundancy / early retirement budget line. However, it must be noted that this budget line can change significantly either way dependant on the personal circumstances. This underspend has been reduced by £24K to offset efficiencies outstanding
- £63k underspend on out of county placements. This budget line can change significantly with one or two pupils that may need suitable provision that cannot be met in the county.
- Reductions in staff travel of approximately £41k. Staff have adapted to working from home effectively. Much of the support given to schools over this period has been successful with more effective joint working and more regular meetings with Headteachers and governing bodies ensuring the successful running of the childcare hubs and the return to school on the 29<sup>th</sup> June 2020.

### **Cost Reductions**

- £41k Budget reductions has now been found – These budget reductions for 2020-21 that were identified as part of the work for the “Residents are Confident, Capable and Fulfilled” Integrated Business Planning work during July:
  - o The release of a vacant part-time post, which had been budgeted for but not filled, will contribute £11,000.
  - o £5,000 can be released from the advertising budget for 14-19 education, as this has been historically underspent.
  - o The redundancy and early retirement budget has experienced a year on year underspend which will release £24,000.

### **Lost income reclaimable from WG**

£115k claim made for April – June relating to lost income from Breakfast Clubs, Early Years Settings and After School Clubs. An estimate of lost income has been included in Quarter 1 claims for financial support to WG, with a further claim to be made for July. This has been claimed and received and a further claim for quarter two will be made.

### **Other mitigating actions to deliver a balanced budget**

We are currently on track to deliver a balanced budget and all savings have been achieved.



|                   |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           |                                 |
|-------------------|---------------------|---|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
|                   |                     | Add   | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000             | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                       | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | SEPT Budget Gap to be addressed |
| Schools Delegated | 81,365              |   |                    | 100                               | (234)            |  | 81,231   |   |   | 81,131                    | 234                             |

## Schools Delegated Overview

### Cost Pressures

- Overall, at 31 March 2020, schools were £910k in deficit and originally budgeted to draw a further £1,292k from reserves by 31 March 2021. The latest forecasts show a slight reduction of £170k in this forecast draw from reserves by 31 March 2021. This has improved since last month by £100k. Financial surgeries are being held and recovery plans are due at the end of term.
- School deficits continue to be an area of concern and a significant risk to the authority as a whole. Schools, the Schools Service and the Schools finance team are working together to improve this position. Schools in deficit have been asked to submit deficit recovery plans by 30 September 2020. This has been extended to the 16<sup>th</sup> October due to Covid.

### Future pressures September 2020 – March 2021

Potential costs within schools not claimable through Welsh Government may arise and need to be funded.

Also retained budget due to individual cases of pupil need.

### Income

£100k lost income from donations / fundraising

### Cost Underspends

The schools finance team is arranging finance surgeries with all schools for the first half of the autumn term to help schools identify any potential underspends

### Lost income reclaimable from WG (possibly)

£100k lost income from donations / fundraising, based on donations received in Quarter 1 of 2019-20, claim submitted but awaiting approval from WG

### Cost Reductions – any further ideas that could take place later in the year

School service and Finance will work with schools during the Autumn term to identify any further cost reductions.

|   |                     | Add   | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
|---|---------------------|---|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
| £'000                                     | 2020/21 Base Budget | Cost Pressures not covered by Covid funding | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Highways Transport & Recycling + Director | 28,019              | 1,065                                       | (62)               | 2,275                             | (1,789)          | 703  | 30,211   | (675)                                     | (306)   | 29,231                    |

|                                 |
|---------------------------------|
| SEPT Budget Gap to be addressed |
| (1,212)                         |

## HTR Overview

### Cost Pressures

The main budget pressures of the service are:

- **£390K Passenger Transport** – The previous re-tender pressure remains.
- **£506K Kerbside increased cost / paper & card** – The forecast for Dry Recycling has been impacted due to the market for paper and card drying up because of COVID-19. Disposal of residual waste is forecast to overspend by £380k, this is as a result of an increase in the volume of waste being collected from kerbside because of COVID-19 (lockdown, WFH, HWRC closures etc).

### Lost Income

Figures below show lost income less the support already received from Welsh Government for Quarter1

- £570K Forecast income loss from NMWTRA and delayed capital, due to reduction to essential only works
- £575K Trade Waste income has been significantly impacted upon during the COVID-19, with closing of shops, businesses, B&Bs etc
- £26K Bulky service was stopped during the lockdown impacting on income, and it is considered there will continue to be less uptake
- £60K Recyclate income has been affected during covid-19
- £440K Passenger Transport – Income affected by a reduced service and reduced usage is forecast
- £42K Reduced usage of pool cars during covid, prior to making intervention
- £630K Car park usage has been significantly affected by Covid-19.
- £52K Development Control has been affected by Covid-19.
- £18K - Markets have been heavily affected by Covid-19.

### Cost Underspends

- Home to School transport stopped in Q1 generating an underspend of £485K. School Transport will resume in September and costs will likely increase ('de-integrate' public/school transport for the foreseeable future and PPE); however, discussions continue with WG and their support of such additional costs.
- HWRCs were closed for a couple of months generating an underspend of £255K.
- Vacant positions in Highways have not been filled
- Underspend in countryside services

### Cost Reductions

HTR has a savings target of £1.1M and have achieved £400K to date and expected to achieve a further £310K in the remaining year. Forecast to achieve £710K and to not deliver £400K. There is a risk that not all the expected to achieve savings will occur within the timeframe.

Unachieved savings (main):

- Car parking has been severely affected by covid-19, and we will not see the full year effect of previous changes.
- HWRC contract has been renegotiated and will achieve a saving of £30K (full year £40K); but a short fall of £70K remains.
- Reduction in winter service will not achieve full year effect this season

It should also be noted that savings programmed in 21/22 will need to be re-profiled / reviewed as progress towards these has been impacted upon and therefore savings based on full year effects are not seen as a realistic position.

### Lost income reclaimable from WG (possibly)

- Forecast in above table assumes all lost income will be supported for Q1 & Q2.
- No assumption for WG support has been included for Q3 and Q4. Should WG support Q3/Q4 there will be an improving position.

### Cost Reductions – any further ideas that could take place later in the year?

| <b>Proposed Mitigation</b>  | <b>Actions</b>  | <b>Value</b>      |
|---|---|-------------------|
| <b>Q3 / Q4 support of lost income by WG (or income levels return to normal)</b>     | <b>WG continue to support lost income for the rest of the financial year</b>  | <b>£1,000,000</b> |
| <b>WG offset pressures associated with Trawscymru routes and other bus services</b> | <b>WG have recently agreed to fully fund the Traws Cymru service for Q1 and Q2 which is not included in the forecast; and the assumption is this will continue for Qtr3 &amp; Qtr4.</b> | <b>£300,000</b>   |
| <b>Re-profile disposal costs that are forecast based on a 'worst case' scenario</b> | <b>Profile a return to normal year landfill costs for Q3/Q4.</b>  | <b>£200,000</b>   |

|   |   |                                   |
|---|---|-----------------------------------|
|   |   |                                   |
| <b>Re-forecast HGSS income.</b>   | <b>Review potential lost income from NMWTRA / capital</b>   | <b>£100,000</b>                   |
|   |   |                                   |
| <b>Reduce or temporarily postpone the permanent adjustment to highways budget increase for 20/21, rolling forward the full permanent adjustment to 21/22.</b> | <b>Do not undertake targeted increase in programmed works (sweeping / Street Cleansing) £500,000 for full year.</b> | <b>£250,000 (based on 6 mths)</b> |
|   |   |                                   |
| <b>Forecast that engineering design team will over-achieve forecast income.</b>   | <b>Profile an income target for over-achieving.</b>   | <b>£100,000</b>                   |
|   |   |                                   |
|   | <b>Net Total</b>  | <b>£1,950,000</b>                 |

|  |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |                            |
|--|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|----------------------------|
|  |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                            |
| £'000                                  | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | Budget Gap to be addressed |
| Property, Planning & Public Protection | 6,347               | 1,038  | (240)              | 1,182                             | (1,916)          | 418  | 6,830    | (500)                                     | (89)  | 6,241                     | 106                        |

## PPPP Overview

### Cost Pressures

- HOWPS have informed Strategic Property that an additional £345K is required to fund statutory testing. This figure is currently being scrutinised by Strategic Property and Finance.
- Trading Standards are predicting a £65K overspend on an ongoing large-scale illegal tobacco investigation.
- Strategic Property have experienced a number of cost pressures relating to items such as ICT (£70K), legal fees, telephones and other services. This equates to £177K.
- Catering's ParentPay system is not budgeted for which equates to £95k.

### Lost Income

- The occupation of Ladywell House has been impacted by Covid-19. This has contributed to an income loss of £62k.
- Covid-19 has impacted on the Environmental Health Services ability to generate income. This has resulted in lost income of £120K.
- Covid-19 has impacted on the Trading Standards ability to generate income. This has resulted in lost income of £151K.
- Covid-19 has impacted on the Catering Services ability to generate income. This has resulted in lost income of £657K.

### Cost Underspends

Underspends as a result of work not being able to be commissioned due to covid-19, vacant posts and increased income for example, have been secured in the following areas:

- £22K Planning Policy.
- £216K Development Management.
- £196K Environmental Health (Commercial).

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- £55K Environmental Health (Environmental Protection).
- £125K Head of Service.
- £69K Cleaning.
- £494K Corporate Property.
- £235K Catering supplies.

### **Cost Reductions**

Covid-19 has limited the service areas ability to achieve savings/income targets. Management of change processes have now been re-commenced in order to achieve an element of savings proposals. It is hoped that the relaxation of covid-19 restrictions will enable income generation to recommence at previously identified levels.

### **Lost income reclaimable from WG (possibly)**

Assumptions have been made that lost income experienced by the public protection service will be reclaimable from WG.

### **Cost Reductions – any further ideas that could take place later in the year?**

Voluntary redundancy has been offered to PPPP staff by HoS. Covid-19 is limiting the scope of this proposal.

|              |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |
|--------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
|              |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
| <b>£'000</b> | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Regeneration | 626                 | 24   |                    | 0                                 | (124)            | 191  | 717      |   | 0   | 717                       |

Budget Gap to be addressed  
(91)

**Regeneration Overview**

**Cost Pressures**

N/A

**Income**

N/A

**Cost Underspends**

Reduction in spend due to focus on Covid activity, reduction in expenditure to support budget savings and underspend in mileage.

**Cost Reductions**

The service has savings to achieve of £326k in 2020-21, £135k has been achieved to date leaving an outstanding amount of £191k.

**Lost income reclaimable from WG (possibly)**

N/A

**Cost Reductions – any further ideas that could take place later in the year?**

Work is ongoing to assess cost reduction options to achieve the remaining budget savings required in 2020-21.

**Other mitigating actions to deliver a balanced budget**

Project management fee/staff time income generated from externally funded projects.

End of temporary core revenue funded post.

|                                 |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |                            |
|---------------------------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|----------------------------|
|                                 |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                            |
| £'000                           | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | Budget Gap to be addressed |
| Housing & Community Development | 4,032               | 34   | (87)               | 13                                | (265)            | 75   | 3,802    |   | 0   | 3,802                     | 230                        |

## Housing and Community Development Overview

### Cost Pressures

#### Future pressures Sept – March 2020

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Unknown future impact of Covid 19 on services – not forecast at this stage

Freedom Leisure have written to formally raise concerns about the WG restrictions on leisure in Wales and the potential for further significant detrimental impact on income. That may need to change once we have an indication on current and likely future trends in terms of income and an accrual may need to be made

- Economic impact may lead to further increases in homeless presentations. Potential increase in B&B costs and additional pressure on temporary accommodation
- Housing rental income has not been as negatively affected by Covid 19 as anticipated. However, there is the potential for that to change when the furlough scheme comes to an end, and if there is an increase in unemployment.

### Redeployment

Current and previous redeployed staff accounted for. Potential for additional future redeployment of staff depending on future impact of covid 19 moving forward.

### Income

Lost income against budget forecast, in areas such as libraries and Private Sector Housing.

### Cost Underspends

Reductions in cost due to partial or full cessation of some services due to covid 19. Underspends from across the service and include reduction in mileage.



### **Cost Reductions**

The service had savings to achieve of £218k in 2020-21, £143k has been achieved to date leaving an outstanding amount of £75k.

Covid 19 has delayed work to prepare for delivering savings in future years, therefore, putting those savings at higher risk in terms of delivery.

### **Cost Reductions – any further ideas that could take place later in the year?**

HoS has emailed all staff in the service inviting expressions of interest in voluntary redundancy or a reduction on hours. There could be the potential for some small additional savings. Unknown at this stage so not included in the forecast.

### **Other mitigating actions to deliver a balanced budget**

As the Service is forecast to underspend, no other mitigating actions are being proposed.

|         |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |
|---------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
|         |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
| £'000   | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Digital | 3,905               | 104  |                    | 59                                | (210)            | 303  | 4,161    |   | (303)   | 3,858                     |

Budget Gap to be addressed  
47

### Digital Overview

Digital Services continue to be active in delivering efficiency savings and developing transformation to support cost reductions across the organisation. Demand is being managed and clear priority focus to business critical areas has driven our response and ensure resource is used within budgets available.

### Cost Pressures

- 40k shortfall at budget setting – looking to resolve within year

### Income

- Lost income against budget of £70k due to roll-over of S33 from previous year is being managed
- Reprographics and post income based on previous year will give a cost pressure and this is being reviewed in Q3 when a better understanding of usage is available and our move to hybrid mail is complete

### Cost Underspends

- £171k from vacant posts and reduced travel

### Cost Reductions

- £330k assured savings expected to be delivered by year end with work ongoing to finalise commitments

### Other mitigating actions to deliver a balanced budget

Looking to recover £70k shortfall from S33 reserves for additional work carried out due to Covid

### Detail of actions to be undertaken to deliver a balanced budget

Introduction of Hybrid mail to reduce expenditure but deliver a more flexible service to support our more agile workforce

|                                |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |
|--------------------------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
|                                |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
| £'000                          | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Transformation & Communication | 1,531               | 37   | (28)               | 0                                 | (140)            | 0  | 1,400    |   | 0   | 1,400                     |

|                            |
|----------------------------|
| Budget Gap to be addressed |
| 131                        |

## **Transformation and Communication Overview**

### **Cost Pressures**

Cost pressure of £37k for Power BI premium licence

### **Income**

N/A

### **Cost Underspends**

£37k additional grant monies from Public Services board, £70k underspend on Welsh Language unit, Public Relations and Graphic Design, £20k for additional ICF monies, and £10k from savings from non-staff costs such as travel due to staff working from home.

### **Cost Reductions**

All cost reductions achieved

### **Lost income reclaimable from WG (possibly)**

N/A

### **Cost Reductions – any further ideas that could take place later in the year?**

New Communications and Welsh Translation operating model will achieve part-year savings of £25k.

### **Other mitigating actions to deliver a balanced budget**

**T&C will achieve a balanced budget**

|                |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |
|----------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
|                |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
| £'000          | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Workforce & OD | 1,944               | 0  | (40)               | 40                                | (217)            | 199  | 1,926    |   | (67)  | 1,859                     |

|                            |
|----------------------------|
| Budget Gap to be addressed |
| 85                         |

## Workforce and OD Overview

### Cost Pressures

None

### Income

The budgeted income from delivering training will be underachieved by £40k. This will be offset against cost underspends.

### Cost Underspends

Significant underspends of £217k on training, staffing, non-staffing costs and against the corporate training budget are forecast.

### Cost Reductions

£10k of the planned £209k savings have been achieved to date, leaving a balance of £199k.

### Lost income reclaimable from WG (possibly)

N/A

### Cost Reductions – any further ideas that could take place later in the year ?

No further ideas

### Other mitigating actions to deliver a balanced budget

The budget is forecasted as being in balance

|                             |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 2020/21 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |
|-----------------------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|
|                             |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |
| £'000                       | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)     | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 |
| Legal & Democratic Services | 3,061               | 24   | (35)               | 140                               | (232)            | 162  | 3,120    | (25)                                      | (8)   | 3,087                     |

|                            |
|----------------------------|
| Budget Gap to be addressed |
| (26)                       |

## Legal Overview

### Cost Pressures

£17k for corona services and £7k for staff registrars.

### Income

Total Lost income of £140K is made up of Land Charges Lost income of £67.5k plus £35k lost income from Registrars (Loss of income from ceremonies) and £37k from legal fees.

### Cost Underspends

£232k is made up of:

- £16k Elections reduced staff and travel costs
- £47k Man Team reduced staff and travel costs
- £99k Reduced members' travel
- £11k Dem services reduced staff & travel costs
- £25k Solicitor to Council reduced staff & travel costs
- £57k Saving from restructures

### Cost Reductions

### Lost income reclaimable from WG (possibly)

Assumption that £150k (50%) of lost income will be recovered from Welsh Government.

**Cost Reductions – any further ideas that could take place later in the year ?**

£54,460 of additional annual savings

|         |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |                            |
|---------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|----------------------------|
|         |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                            |
| £'000   | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)   | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | Budget Gap to be addressed |
| Finance | 5,692               | 28   | 7                  |                                   | (78)             | 150  | 5,799    | (20)                                      | 0   | 5,779                     | (87)                       |

## Finance Overview

### Cost Pressures

- General issues around costs not funded by WG**

Our Procurement lead is currently contracted for 3 days per week (to ensure the cost is covered by budget), but he has been working full time to support the pandemic ensuring we identify and secure PPE and supporting suppliers through PPN220. WG have only funded 50% of his additional costs in June and July, we have put in an appeal, but if this is refused, we have a cost pressure.

There are some staffing cost pressures which are in part mitigated by holding vacant posts.

- Future pressures Sept – March 2020**

Insurance claims continue to rise and we may need to draw from reserves at year end, even with the additional base budget provided at budget setting.

### Redeployment

We have a member of staff working on Track and Trace, but redeployed post is fundamental in the management accounts team and has meant additional hours have been worked to cover his workload which builds up additional TOIL hours.

### Income

Within Income and Awards the service generates £75k in court fee income per annum we have been able to claim £40k Q1 income back from WG, which also covers the gap created by undertaking less commercial work in Q1. We have assumed the same level of income can be claimed from WG in Q2.

### Cost Underspends

Across the service there are non-pay savings such as the travel, vacancies slippage budgets from undertaking service delivery remotely through Teams. Travel to schools, to claimants etc have mainly ceased.

### **Cost Reductions**

Financial services anticipate cost reduction gap of £150k by year end, mainly due to the delay in undertaking a staff restructure along-side streamlining activities that can reduce staff levels as part of the Finance Transformation programme. All staff have been under considerable pressure through Covid, buying PPE, administering business grant support, processing and coordinating Covid Claims and collating financial assumptions to understand the changing forecast outturn. There has not been capacity to develop the transformation activities.

### **Lost income reclaimable from WG (possibly)**

We have claimed loss of income for court costs and loss of commercial income within income and awards.

:



|                     |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |          | SEPTEMBER FORECAST                        |   |                           |                                 |
|---------------------|---------------------|--|--------------------|-----------------------------------|------------------|--|----------|---|---|---------------------------|---------------------------------|
|                     |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000               | 2020/21 Base Budget | Cost Pressures not covered by Covid funding                        | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not delivered (assured / unachieved)     | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | SEPT Budget Gap to be addressed |
| Corporate Activites | 31,234              | 459  |                    | 1,164                             | (2,932)          | 45   | 29,970   | 0   | (45)  | 29,925                    | 1,309                           |
|                     |                     | SEPT FORECAST FOR THE YEAR ENDED 31ST MARCH 20201 AS PER CP/LEDGER |                    |                                   |                  |  |          |   |   |                           |                                 |
|                     |                     | Add  | + / -              | Add                               | Less             | Add  | Revised  | Less                                      | Less  | Final                     |                                 |
| £'000               | 2020/21 Base Budget | Cost Pressures not covered by Covid funding (excluding redeploy)   | Staff Redeployment | Annual lost income against budget | Cost Underspends | Cost Reductions not yet delivered (assured / unachieved) | Forecast | WG Lost Income assumed reclaimable for Q2 | Cost Reductions not yet delivered but assured | Forecast Position 2020/21 | Budget Gap to be addressed      |
| Corporate Activites | 31,234              | 459  |                    | 1,164                             | (2,932)          | 45   | 29,970   |   | (45)  | 29,925                    | 1,309                           |

## Corporate Overview

### Cost Pressures

#### **General issues around costs not funded by WG**

Mainly relates to CTRS increased demand due to the current financial climate. Our current caseload is 10,052 with claims of £11.2m, which is in excess of £600k above budget, there may be greater demand later in the year as the Furlough Scheme closes. We have recently been informed that WG will fund the overspend for the first half of the year, so we will recoup £300k, and could possibly have further funding.

### Income

This relates to the expected shortfall on council tax collection estimated at £1m. Although collection rates have improved there is still 1.4% under collected year to date (circa £1 million) and there are concerns that once the Furlough Scheme closes there may be greater delays in receiving payments from tax payers.

### Cost Underspends

The capital programme continues to identify schemes that need to be reprofiled into future years and the consequence is a reduction to our in year borrowing requirement. This then has a beneficial impact on the cost of borrowing, currently estimated at a £2.715m underspend although this then mitigates increased Minimum Revenue Provision demands of £1.215m due to a greater completion of some schemes in year.

The risk budget of £1.5m has been drawn against in September to fund the 0.75% pay award which has been back dated to 1<sup>st</sup> April, £635k as a one off budget virement. For 2021/22 this cost will be included as a cost pressure on the FRM to ensure the risk budget remains intact.

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Mae'r dudalen hon wedi'i gadael yn wag yn fwiadol

## CYNGOR SIR POWYS COUNTY COUNCIL

CABINET EXECUTIVE  
3<sup>rd</sup> November 2020

**REPORT AUTHOR:** County Councillor Aled Davies, Portfolio Holder for Finance

**REPORT TITLE:** Capital Forecast as at 30<sup>th</sup> September 2020

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**REPORT FOR:** Decision

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**1. Purpose**

1.1 This report provides an update on the financial position of the Council's capital programme for 2020/21.

**2. Financial Update**

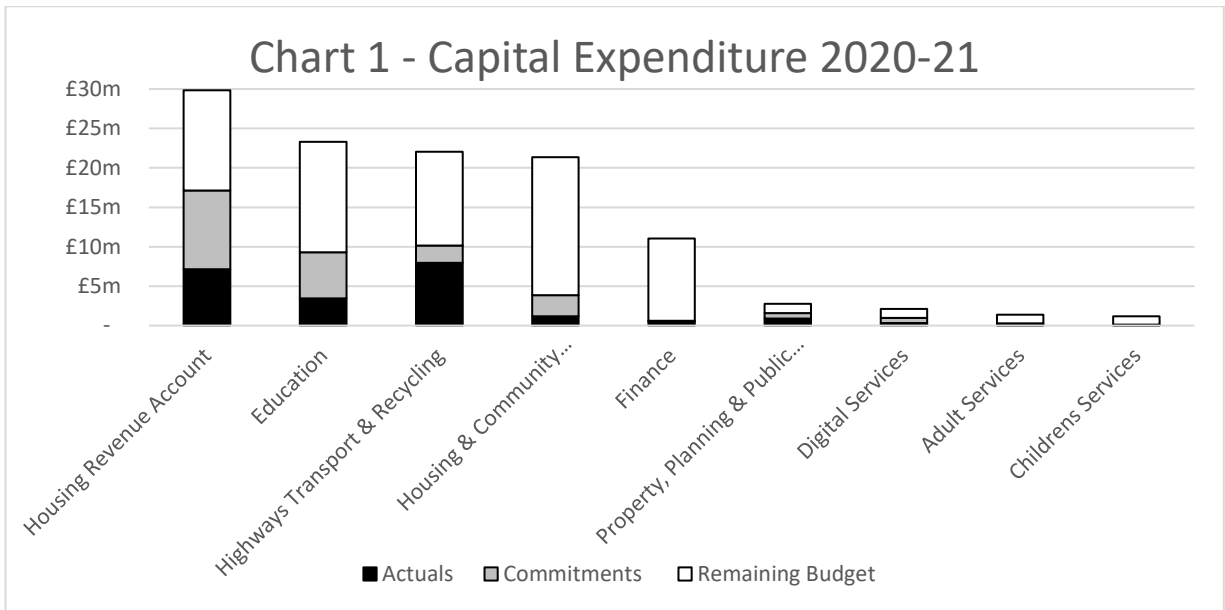
2.1 The revised working budget for the 2020/21 Capital Programme, after accounting for approved virements, is £115.05 million.

2.2 Actual spend and committed expenditure amounts to £44.05 million representing 38% of the total budget. The actual spend to date is £21.62 million, with £22.43 million the committed figure. The actual spend equates to 19% of the annual budget.

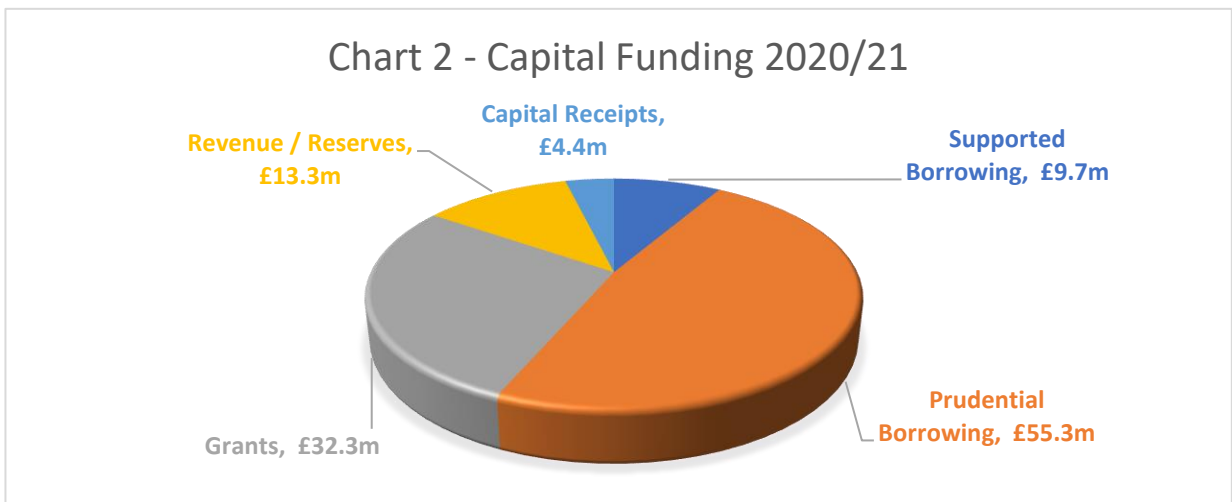
2.3 The revenue expenditure to cover the borrowing for past and present capital schemes is estimated to be £12.18 million in 2020/21 and the Minimum Revenue Provision (MRP) required is estimated at £3.78 million. The Housing Revenue Account (HRA) proportion of these costs is expected to be £5.34 million.

2.4 Based on the estimates above, 3.9% of our net revenue budget of £269 million is supporting the past and present capital spend. It is essential that the investment in our capital programme is affordable over the short, medium, and longer term and can demonstrate tangible benefits linked to the council's priorities.

2.5 Chart 1 below summarises the financial position for each service.



2.6 Chart 2 below sets out how the 2020/21 capital programme is funded, 56% is funded through borrowing, the interest cost for this is charged to the revenue account.



### 3. Grants Received

3.1 The following grants have been received since the last report and are included for information.

#### 3.2 Highways, Transport and Recycling

£1.61 million Active Travel funding awarded with the aims of increasing levels of active travel, improving health & wellbeing, improving air quality, reducing carbon emissions, connecting communities and improving active travel access to employment, education and key services, destinations and public transport. Key projects to be delivered with the funding include construction of a new bridge in Newtown and active travel routes at Llanidloes Road, Newtown and Spa Road East to Cefnlllys Lane, Llandrindod Wells.

£0.02 million award of funding in relation to Flood and Coastal Erosion Risk Management Programme emergency works following severe weather in spring 2020.

£0.60 million in relation to Local Sustainable Transport COVID Response. The purpose of the funding is to fund 'pop up' measures which favour sustainable forms of transport.

### 3.3 Housing and Community Development

Access Improvement Grant funding of £0.24 million has been awarded from Welsh Government. The purpose of the grant is to improve routes, information and access to the Public Rights of Way network, open access land and green spaces in Powys.

This year's allocation of the Housing Major Repairs Grant has been confirmed by Welsh Government. The amount for 2020-21 is £3.70 million, an increase of £0.02 million from the previous year's allocation.

£0.73 million has awarded by Welsh Government as part of Phase 2 Homelessness and Housing Related Support Services grant. This will be used to acquire / repurpose additional accommodation.

## 4. Virements

### 4.1 Housing and Community Development

4.2 The following virements are to realign the budgets on these schemes in line with the funding secured for each scheme and the progress being made on each site and these need to be recommended to Council for approval.

### 4.3 Heol y Ffynnon, Brecon, New Build Scheme

This scheme is partially funded by the Affordable Housing Grant, this is a Welsh Government revenue contribution of £0.17 million per annum for 29 years towards the repayment of borrowing for this scheme.

A virement is requested to realign the 2020/21 budget, removing the Capital Grant funding expectation (£1.51 million) and replace with borrowing in line with the confirmed revenue grant.

The capital grant equivalent of this funding is £3,285,785. This grant funding equates to around 58% of the scheme costs.

Works on site are moving at pace so £2.30 million borrowing is to be brought forward from the 2021/22 allocation to ensure that the works will complete in 2021. The current spend profile anticipates £0.28 million borrowing is required to complete the scheme in 2021/22.

### 4.4 Bowling Green, Newtown, New Build Scheme

This development has been successful in securing £2.19 million Innovative Housing Grant, the request is to update the budget to reflect the grant received. Based on the current cost plan £1.55 million grant will be required in 2020-21. The remaining grant (£0.64 million) together with £1.20 million borrowing is required to complete the scheme in 2021/22.

The virement request is to realign 2020/21 budgets with the grant amount confirmed and the updated spend profile outlined above.

## 5. Reprofiling Budgets Across Financial Years

5.1 The following services have requested the reprofiling of their capital programme budgets into future years, as the expected spend on projects will be significantly less than planned. We encourage services to reprofile budgets as soon as they become aware of forecast changes, rather than waiting until the end of the year.

### 5.2 Property, Planning and Public Protection

£0.80 million of the £1.36 million allocated for the construction of business units at Abermule Business Park has been reprofiled into 2021/22.

### 5.3 Highways, Transport and Recycling

PCC and Brecon Mountain Rescue, who occupy the site next to Brecon Recycling Centre are looking to improve access and parking at our respective sites. Consultations are currently ongoing; construction is not expected to begin in this financial year. £0.47 million of the £0.49 million budget for the Recycling Centre has been reprofiled into 2021/22.

### 5.4 Housing and Community Development

A review of the budget allocated for works to the existing Council housing has identified £8.60 million which has been reprofiled into future years to match the anticipated spend by the service. This leaves £13.71 million allocated in this financial year. The service is currently looking at future capital budgets to ensure they more accurately represent the anticipated spend which should reduce the amount of reprofiling between financial years.

## 6. Capital Receipts

6.1 Capital receipts totaling £0.78 million have been received since the start of the financial year. There are currently sales agreed to the value of £1.96 million which are at the legal stage of the process.

6.2 The year-end forecast is estimated at £4.14 million.

5.3 The year-end forecast is very much reliant on being able to market property in a timely way to allow acceptable offers to be received and sales being completed. A further delay to marketing and a general fall in demand and increased uncertainty will have a detrimental effect to overall targets.

6.4 The Council's transformation programme is funded through a capitalisation directive that allows capital receipts to fund revenue transformation spend and transformation redundancies.

6.5 This year the budget requirement is £3.44 million of capital receipts to support the transformation programme. There are sufficient receipts from previous years to support this year's requirement. However additional capital receipts will be required to support any future year transformation costs, the directive ends in March 2022.

## 7. Resource Implications

7.1 The Head of Finance (Section 151 Officer) notes the content of the report and can support the recommendation to approve the virements. Expenditure on the Capital Programme has slipped considerably in previous financial years, and it is likely the current forecast outturn will reduce further as the year progresses. The effective monitoring and re-profiling of schemes is essential to enable us to more accurately project expenditure, the consequential need to borrow and the impact on the revenue budget. Project Managers and Service leads will be supported to improve financial monitoring and forecasting of expenditure.

## 8. Legal implications

8.1 The Monitoring Officer has no specific concerns with this report.



**9. Comment from local member(s)**

9.1 This report relates to service areas across the whole county.

**10. Integrated Impact Assessment**

10.1 No impact assessment is required

**11. Recommendation**

- That the contents of this report are noted.
- The Virements in section 4 are recommended to Council for approval.

11.1 Reason for Recommendation

- To report on the projected Capital Outturn position for the 2020/21 financial year.
- To ensure appropriate virements, are carried out to align budgets and financing requirements.

|                     |   |
|---------------------|---|
| Contact Officer:    | Jane Thomas, Head of Financial Services |
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| Corporate Director: | Ness Young                              |

## Appendix A:

### Table 1 - Capital Table as at 30<sup>th</sup> September 2020

| Service                                | Original Budget | Virements Approved | Revised Budget | Actuals & Commitments | Remaining Budget |              |
|--|-----------------|--------------------|----------------|-----------------------|------------------|--------------|
|  | £,000           | £,000              | £,000          | £,000                 | £,000            | %            |
| Adult Services                         | 689             | 687                | 1,376          | 296                   | 1,080            | 78.5%        |
| Childrens Services                     | 1,092           | 87                 | 1,179          | 137                   | 1,042            | 88.4%        |
| Education                              | 44,865          | -21,558            | 23,307         | 9,298                 | 14,009           | 60.1%        |
| Highways Transport & Recycling         | 16,257          | 5,787              | 22,044         | 10,136                | 11,908           | 54.0%        |
| Property, Planning & Public Protection | 967             | 1,794              | 2,761          | 1,568                 | 1,193            | 43.2%        |
| Housing & Community Development        | 16,251          | 5,107              | 21,358         | 3,862                 | 17,496           | 81.9%        |
| Digital Services                       | 1,000           | 1,110              | 2,110          | 986                   | 1,124            | 53.3%        |
| Legal & Democratic Services            | 0               | 22                 | 22             | 22                    | 0                | 0.0%         |
| Finance                                | 16,521          | -5,474             | 11,047         | 619                   | 10,428           | 94.4%        |
| <b>Total Capital</b>                   | <b>97,642</b>   | <b>-12,438</b>     | <b>85,204</b>  | <b>26,924</b>         | <b>58,280</b>    | <b>68.4%</b> |
| Housing Revenue Account                | 35,230          | -5,384             | 29,846         | 17,125                | 12,721           | 42.6%        |
| <b>TOTAL</b>                           | <b>132,872</b>  | <b>-17,822</b>     | <b>115,050</b> | <b>44,049</b>         | <b>71,001</b>    | <b>61.7%</b> |

### Table 2 - Funding of the Capital Budget as at 30<sup>th</sup> September 2020

|              | Supported Borrowing | Prudential Borrowing | Grants        | Revenue Contributions | Capital Receipts | Total          |
|--------------|---------------------|----------------------|---------------|-----------------------|------------------|----------------|
|              | £,000               | £,000                | £,000         | £,000                 | £,000            | £,000          |
| Capital      | 9,700               | 38,799               | 25,795        | 13,347                | 4,395            | 92,036         |
| HRA          | 0                   | 16,503               | 6,511         | 0                     | 0                | 23,014         |
| <b>Total</b> | <b>9,700</b>        | <b>55,302</b>        | <b>32,306</b> | <b>13,347</b>         | <b>4,395</b>     | <b>115,050</b> |

## Head of Service Commentary

| Service Area          | Net Budget   | Actual Spend | Budget Remaining | Budget Remaining as a % of Budget |
|-----------------------|--------------|--------------|------------------|-----------------------------------|
|                       | £'000        | £'000        | £'000            | %                                 |
| <b>Adult Services</b> | <b>1,376</b> | <b>296</b>   | <b>1,080</b>     | <b>79%</b>                        |

### HOS Comment

The spend to date has been minimal, however, the rest of the budget is committed and required for the year. A large amount of the budget is set aside for older person's care homes capital work and technology enabled care. One of the recovery sprints for Adult Social Care is regarding the development of technology enabled care further with robotics in order to right-size care interventions and reduce longer term care demand.

| Service Area              | Net Budget   | Actual Spend | Budget Remaining | Budget Remaining as a % of Budget |
|---------------------------|--------------|--------------|------------------|-----------------------------------|
|                           | £'000        | £'000        | £'000            | %                                 |
| <b>Childrens Services</b> | <b>1,179</b> | <b>137</b>   | <b>1,042</b>     | <b>88</b>                         |

### HOS Comment

Welsh Government have confirmed that the Flying Start capital grants for Oldford School Early Help Hub and Brecon early help hub can be rolled over to next financial year 2021/2020. There has been some delay in progressing these capital projects however plans are in place for delivery before the end of the financial year 2022. There has been a delay with the Oldford school project due to delays in the school moving out however we have negotiated access for over the autumn period prior to the school moving out before Jan 21. The refurbishments of Bannau Camlas project is nearing completion.

| Service Area     | Net Budget    | Actual Spend | Budget Remaining | Budget Remaining as a % of Budget |
|------------------|---------------|--------------|------------------|-----------------------------------|
|                  | £'000         | £'000        | £'000            | %                                 |
| <b>Education</b> | <b>23,307</b> | <b>9,298</b> | <b>14,009</b>    | <b>60</b>                         |

### HOS Comment

**Major Improvements** programme has 74 schemes in 2020/21, including schemes carried forward from 2019/20. There are 1 schemes awaiting approval, 1 schemes to commission, 5 schemes commissioned, 1 scheme on hold, 18 schemes at the design stage, 16 are out to tender, 15 under construction and 17 schemes have been handed over to the end user. Any uncommitted funding within projects will be reallocated back to the programme contingency to cover for emergencies, unforeseeable and legislative requirements and budget fluctuations over the course of the year and to ensure school service continuity.

**21<sup>st</sup> Century Schools programme**

Expenditure focus is on the construction of Welshpool Church in Wales Primary School, the building is due to be completed and handed over to Powys County Council at the end of the month. Other expenditure includes finalising Bro Hyddgen Community Campus feasibilities and tender package preparation for Ysgol Gymraeg y Trallwng and Ysgol Cedewain schemes, which have now been published. Work on early designs for the Brynllwarch project is also progressing at pace. Any remaining allocated budget for 2020/21 will be rolled to the next financial year; main reason being the delay in starting on site on the Bro Hyddgen Community Campus scheme due to change in strategic direction, and the delay in starting on site on the Ysgol Gymraeg y Trallwng scheme due to Covid-19.

| Service Area                             | Net Budget    | Actual Spend  | Budget Remaining | Budget Remaining as a % of Budget |
|--|---------------|---------------|------------------|-----------------------------------|
|  | £'000         | £'000         | £'000            | %                                 |
| <b>Highways, Transport and Recycling</b> | <b>22,044</b> | <b>10,136</b> | <b>11,908</b>    | <b>54</b>                         |

**HOS Comment**

The Highways Core Capital scheme of £1.5 million is currently on target, along with £1.5 million on structural maintenance. There was a £2.6 million roll over to next year from the HAMP programme, along with an element from the Vehicle replacement programme. Other projects which are in development are the North Powys Bulking facility along with Brecon HWRC and Brecon Transfer Station.

| Service Area                                    | Net Budget   | Actual Spend | Budget Remaining | Budget Remaining as a % of Budget |
|---|--------------|--------------|------------------|-----------------------------------|
|   | £'000        | £'000        | £'000            | %                                 |
| <b>Property, Planning and Public Protection</b> | <b>2,761</b> | <b>1,568</b> | <b>1,193</b>     | <b>43</b>                         |

**HOS Comment**

Delays to projects are being experienced due to covid-19. The pre-application consultation process for the Abermule business units has commenced and a planning application is to be submitted later this year. Work on site is unlikely to commence until the 2021/22 financial year.

| Service Area                             | Net Budget    | Actual Spend | Budget Remaining | Budget Remaining as a % of Budget |
|--|---------------|--------------|------------------|-----------------------------------|
|  | £'000         | £'000        | £'000            | %                                 |
| <b>Housing and Community Development</b> | <b>21,358</b> | <b>3,862</b> | <b>17,496</b>    | <b>82</b>                         |

|   |               |               |               |           |
|---|---------------|---------------|---------------|-----------|
| <b>Housing Revenue Account</b>  | <b>29,846</b> | <b>17,125</b> | <b>12,721</b> | <b>43</b> |
| <b><u>HOS Comment</u></b>   |               |               |               |           |
| The affordable housing new build programme is progressing with a number of sites in construction; therefore, some profiling of the capital budgets is required to reflect that progress and the grant funding allocated. Some capital spend within the service is being delayed due to the ongoing Covid 19 pandemic and the service is working with Finance to ensure this is reflected in the profiling of expenditure as soon as possible. |               |               |               |           |

| <b>Service Area</b>   | <b>Net Budget</b> | <b>Actual Spend</b> | <b>Budget Remaining</b> | <b>Budget Remaining as a % of Budget</b> |
|---|-------------------|---------------------|-------------------------|--|
|   | <b>£'000</b>      | <b>£'000</b>        | <b>£'000</b>            | <b>%</b>                                 |
| <b>Digital Services</b>   | <b>2,110</b>      | <b>986</b>          | <b>1,124</b>            | <b>53</b>                                |
| <b><u>HOS Comment</u></b>   |                   |                     |                         |  |
| Digital services have reviewed all capital projects for the current year and expect to complete the remaining infrastructure and cyber security investment programme by year end. |                   |                     |                         |  |

| <b>Service Area</b>       | <b>Net Budget</b> | <b>Actual Spend</b> | <b>Budget Remaining</b> | <b>Budget Remaining as a % of Budget</b> |
|---------------------------|-------------------|---------------------|-------------------------|--|
|                           | <b>£'000</b>      | <b>£'000</b>        | <b>£'000</b>            | <b>%</b>                                 |
| <b>Legal</b>              | <b>22</b>         | <b>22</b>           | <b>0</b>                | <b>0</b>                                 |
| <b><u>HOS Comment</u></b> |                   |                     |                         |  |
| .                         |                   |                     |                         |  |

| <b>Service Area</b>   | <b>Net Budget</b> | <b>Actual Spend</b> | <b>Budget Remaining</b> | <b>Budget Remaining as a % of Budget</b> |
|---|-------------------|---------------------|-------------------------|--|
|   | <b>£'000</b>      | <b>£'000</b>        | <b>£'000</b>            | <b>%</b>                                 |
| <b>Finance</b>  | <b>11,047</b>     | <b>619</b>          | <b>10,428</b>           | <b>94</b>                                |
| <b><u>HOS Comment</u></b>   |                   |                     |                         |  |
| £3.4 million of the budget relates to Transformation schemes which under the Welsh Government Capitalisation Directive are funded from Capital Receipts. This is forecast to be utilized by the year end. |                   |                     |                         |  |
| The remaining budget relates to capital bids that have yet to complete the Capital Governance process, if the schemes are approved the budgets will be released to the service area.                      |                   |                     |                         |  |

Mae'r dudalen hon wedi'i gadael yn wag yn fwriadol