

## Regulatory Tracker mapping & Consolidation Findings

### Adults Improvement Plan

Recommendation Reference	Document Reference	Recommendation	Regulator	Related AIP Actions
<b>ICTR5</b>	Section 33 arrangements – ICT Partnership 123A2015	Ensure that there are clear implementation plans for the new all Wales Community Social Services and Health system. This should include: <ul style="list-style-type: none"> <li>• identification of overall executive responsibility for leading the project;</li> <li>• allocation of sufficient ICT and Service staff resources to the project;</li> <li>• clear deliverable milestones and plans to prepare, test, and switchover to the new system; and</li> <li>• development of integrated health and social care pathways and processes, which enable the system to support the desired future model of working, rather than the future model of working being dictated/limited by the system.</li> </ul>	Welsh Audit Office	<b>A10, B3, B10</b>
<b>CSSIW7</b>	CSSIW -WG25949	The Council needs to consider carrying out a review of the grants and service level arrangements to ensure they align with the Powys One Plan and the Integrated Pathway and provide the best value for money.	Care Inspectorate Wales	<b>D4</b>
<b>CSSIW10</b>	CSSIW -WG25949	The new adult safeguarding management structures and reporting mechanisms must be secured and established as a priority, to ensure that the Designated Lead Managers are supported in their responsibilities and there is consistent reporting, decision making and oversight at an appropriately senior level.	Care Inspectorate Wales	<b>A6,B1,B4,B7,D5</b>
<b>CSSIW12</b>	CSSIW -WG25949	A workforce strategy which supports the establishment of the integrated pathway for older people should be developed across the wider health and social care workforce including domiciliary care. Opportunities to build workforce capacity such as care apprenticeships should be considered, as well as potential barriers such as housing and transport.	Care Inspectorate Wales	<b>Section C</b>

<b>Review of Dom Care R3</b>	Review of the Letting of a Domiciliary Care Contract to Alpha Care Limited - 692A2015	Audit work undertaken previously by the Auditor General in 2010 and 2014 on the Authority's whistleblowing policies identified that 'there was often a lack of an audit trail to support key decisions and events. Some key decisions were not documented and there were instances of key documents or supporting information not being found or not existing.' Similar issues are identified in this report. The review recommended above should also consider the extent to which adequate documentation is produced and retained to support key decisions made when developing and letting tenders.	Care Inspectorate Wales	<b>D2</b>
<b>CSSIW4</b>	CSSIW -WG25949	Future commissioning and procurement exercises for domiciliary care services should be built on a market development and partnership approach. It must robustly test the tender submissions, the capacity and capability of organisations to manage the transition of services and deliver the service specifications.	Care Inspectorate Wales	<b>D2</b>
<b>CSSIW9</b>	CSSIW -WG25949	The first contact arrangements via the Powys People Direct should be further developed to ensure it can provide the appropriate level of response, advice, support and information for adult services and therefore reduce the need for an additional duty response at team level.	Care Inspectorate Wales	<b>A7,B2,B5,B8,C13</b>
<b>CSSIW6</b>	CSSIW -WG25949	The Council needs to strengthen its relationships with and oversight of domiciliary care providers operating in Powys, including setting up regular meetings and clear lines of communication with the commissioning managers to address ongoing concerns and queries.	Care Inspectorate Wales	<b>D2</b>
<b>Review of Dom Care R2</b>	Review of the Letting of a Domiciliary Care Contract to Alpha Care Limited - 692A2015	In order to meet the challenges of transforming its service delivery in the light of reduced financial resources and increasing demand, the Authority has adopted a clearly defined commissioning and procurement strategy. We recommend that the Authority consider whether the issues raised in this report have wider relevance for the successful delivery of its commissioning and procurement strategy, and undertake a review of its processes for developing and letting major contracts. Particular attention should be paid to ensuring that the governance arrangements for developing, scrutinising and approving contracting exercises are appropriate and are working in practice.	Care Inspectorate Wales	<b>D2</b>

## Childrens Improvement Plan

Recommendation Reference	Document Reference	Recommendation	Regulator	Related CIP Actions
<b>ICTR5</b>	Section 33 arrangements – ICT Partnership 123A2015	<p>Ensure that there are clear implementation plans for the new all Wales Community Social Services and Health system. This should include:</p> <ul style="list-style-type: none"> <li>• identification of overall executive responsibility for leading the project;</li> <li>• allocation of sufficient ICT and Service staff resources to the project;</li> <li>• clear deliverable milestones and plans to prepare, test, and switchover to the new system; and</li> <li>• development of integrated health and social care pathways and processes, which enable the system to support the desired future model of working, rather than the future model of working being dictated/limited by the system.</li> </ul>	Welsh Audit Office	<b>B26,B30</b>
<b>CSSIW10</b>	CSSIW -WG25949	The new adult safeguarding management structures and reporting mechanisms must be secured and established as a priority, to ensure that the Designated Lead Managers are supported in their responsibilities and there is consistent reporting, decision making and oversight at an appropriately senior level.	Care Inspectorate Wales	<b>B1</b>
<b>CSSIW9</b>	CSSIW -WG25949	The first contact arrangements via the Powys People Direct should be further developed to ensure it can provide the appropriate level of response, advice, support and information for adult services and therefore reduce the need for an additional duty response at team level.	Care Inspectorate Wales	<b>A17, A21, B18, B19, D3, D4, D5, D6, D11</b>
<b>R1R2</b>	WAO Study - Scrutiny	Ensure that scrutiny members, and specifically scrutiny chairs, receive training and support to fully equip them with the skills required to undertake effective scrutiny.	Welsh Audit Office	<b>A5, A12</b>
<b>Good Governance P4</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Improving the quality of information and options appraisals provided to Members to enable them to consider the strategic implications of the proposed service changes.	Welsh Audit Office	<b>A15, B1, B33</b>

<b>R2R5 Youth</b>	WAO Study - NEETS	Ensure that elected members and partners fully understand that councils have a clear responsibility for leading and co-ordinating youth services for 16 to 24 year olds.	Welsh Audit Office	<b>B21, D15, D16, D17, D18, D23</b>
<b>Good Governance P2</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Clarifying and strengthening the role of scrutiny committees in considering service change.	Welsh Audit Office	<b>A7, A12, A15, B1, B33</b>
<b>Good Governance P1</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Reviewing the current remit and role of the Cabinet to enable it to focus on the Councils key priorities and significant service changes	Welsh Audit Office	<b>A6, A13, A14, A30, B1, C31</b>
<b>R1R4</b>	WAO Study - Scrutiny	Ensure that scrutiny draws effectively on the work of audit, inspection and regulation and that its activities are complementary with the work of external review bodies.	Welsh Audit Office	<b>A5, A7</b>

### Corporate Leadership & Governance Plan

<b>Recommendation Reference</b>	<b>Document Reference</b>	<b>Recommendation</b>	<b>Regulator</b>	<b>Related CLGP Actions</b>
<b>ICTR5</b>	Section 33 arrangements – ICT Partnership 123A2015	Ensure that there are clear implementation plans for the new all Wales Community Social Services and Health system. This should include: <ul style="list-style-type: none"> <li>• identification of overall executive responsibility for leading the project;</li> <li>• allocation of sufficient ICT and Service staff resources to the project;</li> <li>• clear deliverable milestones and plans to prepare, test, and switchover to the new system; and</li> </ul>	Welsh Audit Office	<b>E5A, E5B, F6</b>

		<ul style="list-style-type: none"> <li>• development of integrated health and social care pathways and processes, which enable the system to support the desired future model of working, rather than the future model of working being dictated/limited by the system.</li> </ul>		
<b>R1R2</b>	WAO Study - Scrutiny	Ensure that scrutiny members, and specifically scrutiny chairs, receive training and support to fully equip them with the skills required to undertake effective scrutiny.	Welsh Audit Office	<b>A4, A5, A13</b>
<b>Good Governance P4</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Improving the quality of information and options appraisals provided to Members to enable them to consider the strategic implications of the proposed service changes.	Welsh Audit Office	<b>A4, A8, A10, A11, A12, D12, D15, D16, F9, H19</b>
<b>Third Sector R1</b>	Checklist for local authorities effectively engaging and working with the third sector	<p>To get the best from funding decisions, local authorities and third sector bodies need to ensure they have the right arrangements and systems in place to support their work with the third sector.</p> <p>To assist local authorities and third sector bodies in developing their working practices, we recommend that local authority and third sector officers use the checklist in Appendix 3 to:</p> <ul style="list-style-type: none"> <li>• self-evaluate current third sector engagement, management, performance and practice;</li> <li>• identify where improvements in joint working is required; and</li> <li>• jointly draft and implement an action plan to address the gaps and weaknesses identified through the self-evaluation.</li> </ul>	Welsh Audit Office	<b>H8</b>
<b>Third Sector R2</b>		Poor performance management arrangements are weakening accountability and limiting effective scrutiny of third sector activity and performance. To strengthen oversight of the third sector, we recommend that elected members scrutinise the review checklist completed by officers, and regularly challenge performance by officers and the local authority in addressing gaps and weaknesses.		
<b>Good Governance P3</b>	Good Governance when Determining Significant Service	Aligning Cabinet and Scrutiny work programmes to include details of forthcoming service change proposals and making them easily accessible on the Council's website.	Welsh Audit Office	<b>A4</b>

	Changes - Powys County Council			
<b>Good Governance P1</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Reviewing the current remit and role of the Cabinet to enable it to focus on the Councils key priorities and significant service changes	Welsh Audit Office	<b>A4</b>
<b>Good Governance P5</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Clarify delegated authorities, particularly for significant service changes so that decisions are transparent and accountability for them is clear.	Welsh Audit Office	<b>A4,D16,F9,H19</b>
<b>Good Governance P6</b>	Good Governance when Determining Significant Service Changes - Powys County Council	Strengthening arrangements for monitoring the impact of service changes including explicitly setting out at the point of decision what will be monitored, where this will be monitored and who will be responsible for doing so.	Welsh Audit Office	<b>F9, D16</b>
<b>R1R3</b>	WAO Study - Scrutiny	Further develop scrutiny forward work programming to: <ul style="list-style-type: none"> <li>• provide a clear rationale for topic selection;</li> <li>• be more outcome focused;</li> <li>• ensure that the method of scrutiny is best suited to the topic area and the outcome desired; and</li> <li>• align scrutiny programmes with the council's performance management, self-evaluation and improvement arrangements.</li> </ul>	Welsh Audit Office	<b>A4, A5, A8, A13</b>
<b>Financial Resilience Assessment</b>	196A2016	Last year we highlighted that the Council needed to be clear about how it would resource its identified corporate priorities (set out in the Statement of Intent and One Powys Plan). Also that it should be clear how it would ensure its corporate and strategic financial plans were sufficiently aligned. The Council acknowledged that its financial planning should begin earlier and the initial work for the 2015-16 budget began in May 2014. Budget planning followed an approach which	Welsh Audit Office	<b>D1,D2,D4</b>

		aimed to provide greater clarity on the budget process and timing for Members than previously.		
		Over previous years, the Council has had a variable track record of delivering its overall budget. Its budget was underspent in both 2011-12 and 2012-13. The budget for 2013-14 was overspent by £0.8 million, which the Council met by utilising its reserves.	Welsh Audit Office	<b>D2,D5</b>
<b>Financial Resilience Assessment</b>	196A2016	There are, however, capacity issues within the Finance Department. Major restructuring has taken place in the last few years and the Finance Department has seen an approximate 20 per cent reduction in its staff numbers, which has affected the capacity of the team. Some vacancies remain but the Council has experienced difficulties in recruiting to all but the junior accountant positions	Welsh Audit Office	<b>D9,D11</b>
		In the majority of cases, the Council expects that savings proposals, and their appropriate scrutiny and challenge can be developed internally. However, the Council recognises that in some cases, it will need additional capacity and expertise to help it reduce its operating costs.	Welsh Audit Office	<b>D4,D9</b>
		The Council has actively sought to increase Member involvement in the budget process. It has run a series of budget seminars with Councillors through the year. The seminars were held to explain the updated FRM to members and present the proposed savings drawn up by each service area. The aim was to inform broad proposals for setting the three-year budget, and to receive guidance from members on policy direction so that proposals could be turned into agreed action plans. In its progress report to Audit Committee in November 2015, the FSP recognised that the budget setting process in Powys is evolving. Whilst welcoming the earlier and more detailed involvement of Members, the FSP expressed some concerns that there were still too many elements of 'salami' slicing rather than transformational change and that some of the savings proposals may not be deliverable.	Welsh Audit Office	<b>D12</b>
		The FSP, at a recent joint meeting with Cabinet (14 December 2015) presented a report with a number of observations and suggestions to further improve the budget setting process for Cabinet to consider. The work undertaken so far, building upon the support from the external specialists, has enabled some positive benefits to be derived although some arrangements are clearly developing and have yet to be fully embedded.	Welsh Audit Office	<b>D3,D6,D9</b>

		To meet the challenge of transforming service delivery with reduced financial resources and increasing demand, the Council has adopted a clearly defined commissioning and procurement strategy. Our report on the letting of the domiciliary care contract recommended that the Council consider whether the issues we have identified have wider relevance for the successful delivery of its commissioning and procurement strategy. It also recommends that the Council undertake a review of its processes for developing and letting major contracts. We emphasise the need to ensure that the governance arrangements for developing, scrutinising and approving contracting exercises are appropriate and are working.	Welsh Audit Office	<b>B7</b>
<b>Meeting the Financial Challenges Facing Local Government in Wales</b>		Councils need clear strategies and plans, showing what they want to achieve and how they intend to achieve it Effective strategy and planning are crucial tools to help councils develop well-considered and sustainable responses to financial pressures. And services need to work out the most cost-effective ways of using the resources at their disposal to deliver their goals.	Welsh Audit Office	<b>D1, D2, D4,</b>
<b>Meeting the Financial Challenges Facing Local Government in Wales</b>		Effective planning, based on good information is an efficient and effective way of supporting tough choices and developing clear priorities Councils need robust information to support the detailed analysis needed to link their vision and objectives to their delivery plans. Councils often do not have a clear understanding of the demand for their services and the quality of their services from the users' perspective.	Welsh Audit Office	<b>D1,D4, D15</b>
		Council plans and strategies need closer links to longer-term financial plans Councils need to strengthen the links between their strategies and plans for services and their medium- and long-term financial plans. Too many financial plans are focused on short-term pressures, and do not look further ahead to the medium- and long-term to support the achievement of broader strategic goals. And, too many councils base their budgets on small, incremental annual changes, rather than fundamentally assessing the service delivery arrangements needed to deliver the desired results – and the cost of delivering those services.	Welsh Audit Office	<b>D1,D2, D4</b>
<b>Financial resilience of local</b>		Local authorities should strengthen their financial-planning arrangements by: <ul style="list-style-type: none"> <li>• developing more explicit links between the Medium Term Financial Plan (MTFP) and its corporate priorities and service plans;</li> </ul>	Welsh Audit Office	<b>D1, D2,D3,D4</b>



<p><b>authorities in Wales 2015-16</b></p>		<ul style="list-style-type: none"> <li>• aligning other key strategies such as workforce and asset management plans with the MTFP;</li> <li>• developing comprehensive multi-year fully-costed savings plans which underpin and cover the period of the MTFP, not just the forthcoming annual budget;</li> <li>• categorise savings proposals so that the shift from traditional type savings to transformational savings can be monitored over the period of the MTFP; and</li> <li>• ensuring timescales for the delivery of specific savings proposals are realistic and accountability for delivery is properly assigned.</li> </ul>		
<p><b>The financial resilience of councils in Wales</b></p>		<p>Councils should ensure that their corporate plan:</p> <ul style="list-style-type: none"> <li>• is the core driver for the service plans and other supporting strategies including workforce, information technology and capital expenditure;</li> <li>• maintains at least a three to five year forward view and is aligned with the medium term financial plan and other supporting strategies; and</li> <li>• should clearly articulate the desired role of the council in five years - the model for delivering priority services and the infrastructure and resources needed to deliver future priorities within available finances.</li> </ul>		<p><b>D1,D2,D3,D4</b></p>
<p><b>Meeting the Financial Challenges Facing Local Government in Wales</b></p>		<p>Councils need to explore more opportunities to work together and with other public services, to reduce costs and deliver improved outcomes for citizens Collaboration is important because individual public services cannot deliver the desired improvements to the economy, health, environment and community life of Wales on their own. When public services do not work together effectively, the outcome is invariably extra costs and poorer services for service users and citizens.</p>	<p>Welsh Audit Office</p>	<p><b>D19</b></p>
<p><b>The financial resilience of councils in Wales</b></p>		<p>Councils need to ensure that funding deficits are accurately projected and fully reconciled to detailed savings plans for each year over the life of the medium term financial plan.</p>	<p>Welsh Audit Office</p>	<p><b>D1, D2,D4,D5</b></p>
		<p>Councils should regularly review the adequacy of the financial assurance arrangements that underpin the delivery of annual savings plans, including the level of scrutiny and challenge provided by councillors.</p>		<p><b>D1, D3, D16</b></p>
		<p>Councils should</p> <ul style="list-style-type: none"> <li>• strengthen budget setting and monitoring arrangements to ensure financial resilience; and</li> </ul>		<p><b>D1, D2, D6, Monthly budget setting process</b></p>

		<ul style="list-style-type: none"> <li>review the coverage and effectiveness of their internal and external assurance financial systems and controls to ensure they are fit for purpose and provide early warning of weaknesses in key systems.</li> </ul>		
<b>Savings planning – Financial Resilience (March 2017)</b>		<p>Strengthen financial planning arrangements by:</p> <ul style="list-style-type: none"> <li>ensuring that the service savings targets set for third party spend, income and cost improvement opportunities can be achieved in planned timescales;</li> <li>ensuring that all savings plans are sufficiently well developed for inclusion in the annual budget; and</li> <li>forecasting the use of reserves over the MTFP period.</li> </ul>	Welsh Audit Office	<b>D4,D5, D7</b>
<b>Meeting the Financial Challenges Facing Local Government in Wales</b>		<p>Councils need to strengthen their arrangements for evaluating the impact of their financial decisions – on service standards and on citizens</p> <p>Informed decision making requires good management information and effective feedback arrangements. Councils that understand the impact of the actions they take are more likely to respond effectively to emerging issues and make better decisions. This is more likely to lead to better, more efficient services, and more satisfied citizens.</p>	Welsh Audit Office	<b>D6</b>
<b>The financial resilience of councils in Wales</b>		<p>Council officers need to equip councillors with the knowledge and skills they need to deliver effective governance and challenge by extending training opportunities and producing high quality management information.</p>	Welsh Audit Office	<b>D12, D13</b>
<b>Financial resilience of local authorities in Wales 2015-16</b>		<p>Local authorities should develop Key Performance Indicators to monitor the MTFP.</p>	Welsh Audit Office	<b>D6, D23</b>
		<p>Local authorities should ensure that corporate capacity and capability are at a level that can effectively support the delivery of savings plans in the MTFP at the pace required.</p>	Welsh Audit Office	<b>D9, D12</b>
<b>Income Generation</b> Charging for services and generating income by local authorities		<p>Develop strategic frameworks for introducing and reviewing charges, linking them firmly with the Medium Term Financial Plan and the Corporate Plan.</p>	Welsh Audit Office	<b>D14</b>
		<p>Review the unit and total costs of providing discretionary services to clearly identify any deficits and, where needed, set targets to improve the current operating position.</p>	Welsh Audit Office	<b>D15</b>
		<p>Use the impact assessment checklist (Appendix 2) whenever changes to charges are considered.</p>	Welsh Audit Office	<b>Closed</b>
		<p>Identify opportunities to procure private sector companies to collect charges to improve efficiency and economy in collecting income.</p>	Welsh Audit Office	<b>D18</b>

	<p>Improve management of performance, governance and accountability by:</p> <ul style="list-style-type: none"> <li>• regularly reporting any changes to charges to scrutiny committee(s);</li> <li>• improving monitoring to better understand the impact of changes to fees and charges on demand, and the achievement of objectives;</li> <li>• benchmarking and comparing performance with others more rigorously; and</li> <li>• providing elected members with more comprehensive information to facilitate robust decision-making.</li> </ul>	Welsh Audit Office	<b>D16</b>
	<p>Improve the forecasting of income from charges through the use of scenario planning and sensitivity analysis.</p>	Welsh Audit Office	<b>D17</b>