

# 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, 11 Chwefror 2020**

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Amser y Cyfarfod  
**10.30 am**

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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>
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Derbyn ymddiheuriadau am absenoldeb.

<b>2.</b>	<b>COFNODION</b>
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Awdurdodi'r Cadeirydd i lofnodi cofnodion y cyfarfod diwethaf a gynhaliwyd ar 21 Ionawr 2020 fel cofnod cywir.

(Tudalennau 1 - 8)

<b>3.</b>	<b>DATGANIADAU O DDIDDORDEB</b>
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Derbyn unrhyw ddatganiadau o ddiddordeb gan Aelodau yn ymwneud ag eitemau i'w hystyried ar yr agenda.

<b>4.</b>	<b>NEWIDIADAU RHENT A THALIADAU CYSYLLTIEDIG CYFRIF REFENIW TAI AR GYFER 2020-21</b>
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Ystyried adroddiad gan y Cynghorydd Sir James Evans, Aelod Portffolio ar gyfer Gwasanaethau Datblygu Economaidd, Tai a Rheoleiddio.

(Tudalennau 9 - 34)

<b>5.</b>	<b>GOROLWG A RHAGOLYGN ARIANNOL AR 31 RHAGFYR</b>
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Ystyried adroddiad gan y Cyngorydd Sir Aled Davies, Aelod Portffolio Cyllid, Cefn Gwlad a Thrafnidiaeth.  
(Tudalennau 35 - 44)

<b>6.</b>	<b>DIWEDDARIAD Y RHAGLEN GYFALAF AR 31 RHAGFYR</b>
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Ystyried adroddiad gan y Cyngorydd Sir Aled Davies, Aelod Portffolio Cyllid, Cefn Gwlad a Thrafnidiaeth.  
(Tudalennau 45 - 54)

<b>7.</b>	<b>ADRODDIAD PERFFORMIAD CHWARTER 3</b>
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Ystyried adroddiad gan y Cyngorydd Sir Aled Davies, Aelod Portffolio Cyllid, Cefn Gwlad a Thrafnidiaeth.  
Dyma'r ddolen i'r adroddiad Sway  
<https://sway.office.com/eqKH7SoUOC4sHXNc>

<b>8.</b>	<b>ADRODDIAD CHWARTER 3 COFRESTR RISG STRATEGOL</b>
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Ystyried adroddiad gan y Cyngorydd Sir Graham Breeze, Aelod Portffolio ar faterion Llywodraethu ac Ymgysylltu Corfforaethol.  
(Tudalennau 55 - 80)

<b>9.</b>	<b>DIWEDDARIAD ARDALOEDD GWELLA BUSNES ABERHONDDU A'R DRENEWYDD</b>
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Ystyried adroddiad gan y Cyngorydd Sir James Evans, Aelod Portffolio ar faterion Gwasanaethau Datblygu Economaidd, Tai a Rheoleiddio.  
(To Follow)

<b>10.</b>	<b>ADRODDIAD CHWARTER 3 RHEOLI'R TRYSORLYS</b>
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Ystyried adroddiad gan y Cyngorydd Sir Aled Davies, Aelod Portffolio Cyllid, Cefn Gwlad a Thrafnidiaeth.  
(Tudalennau 81 - 100)

<b>11.</b>	<b>ADRODDIAD CADEIRYDD ANNIBYNNOL Y BWRDD GWELLA A SICRWYDD</b>
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Derbyn ac ystyried adroddiad Cadeirydd Annibynnol y Bwrdd Gwella a Sicrwydd.  
(Tudalennau 101 - 106)

<b>12.</b>	<b>COFNODION Y BWRDD GWELLA A SICRWYDD</b>
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Derbyn cofnodion y Bwrdd Gwella a Sicrwydd er gwybodaeth – Addysg – a gynhaliwyd ar 9 Ionawr 2020 a'r cyfarfod Gofal Cymdeithasol a gynhaliwyd ar 10 Ionawr 2020.

(Tudalennau 107 - 120)

<b>13.</b>	<b>GOHEBIAETH</b>
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Derbyn unrhyw ohebiaeth sydd ym marn yr Arweinydd yn ddigon o frys i haeddu ystyriaeth.

<b>14.</b>	<b>PENDERFYNIADAU DIRPRWYEDIG A WNAED ERS Y CYFARFOD DIWETHAF</b>
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Nodi'r penderfyniadu dirprwyedig a wnaed ers y cyfarfod diwethaf.

(Tudalennau 121 - 122)

<b>15.</b>	<b>BLAENRAGLEN WAITH</b>
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Ystyried blaenraglen waith y Cabinet.

(Tudalennau 123 - 128)

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

**MINUTES OF A MEETING OF THE CABINET HELD AT COUNCIL CHAMBER -  
COUNTY HALL, LLANDRINDOD WELLS, POWYS ON TUESDAY, 21 JANUARY  
2020**

PRESENT

County Councillor M R Harris (Chair)

County Councillors MC Alexander, A W Davies, P Davies, J Evans, H Hulme and R Powell

In attendance: County Councillors K Lewis, P Roberts, G Thomas and G Williams

<b>1.</b>	<b>APOLOGIES</b>
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Apologies for absence were received from County Councillor G Breeze.

<b>2.</b>	<b>MINUTES</b>
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The Leader was authorised to sign the minutes of the meetings held on 17<sup>th</sup> December 2019 and 7<sup>th</sup> January 2020 as correct records.

<b>3.</b>	<b>DECLARATIONS OF INTEREST</b>
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There were no apologies for absence reported.

<b>4.</b>	<b>DRAFT MEDIUM-TERM FINANCIAL STRATEGY 2020-2025 AND DRAFT 2020-21 BUDGET AND CAPITAL PROGRAMME FOR 2020-2030</b>
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Cabinet considered the draft Medium Term Financial Strategy 2020-2025, draft Budget 2020-21 and draft Capital Programme 2020-2030. (Copy filed with signed minutes).

The Portfolio Holder for Finance set out the Cabinet's approach to developing the budget. The Council continues to face significant challenges arising from increasing demands, and rising costs, meeting these pressures has to be balanced by prioritising resources and reducing the cost of delivery, whilst considering the impact on residents and affordability for Council Tax payers. He explained that over the last 12 months the Cabinet and Executive Management Team (EMT) had placed a greater focus on longer term financial, service and workforce planning to help provide sustainable solutions to these challenges. The Medium Term Financial Strategy (MTFS) had been aligned with the Council's corporate priorities identifying the resources required to deliver them.

The MTFS provided a set of clear principles which would drive the Council's budget and spending decisions over 2020-25 which Members and others could judge the Council's financial performance against. The MTFS incorporated

- principles that will govern the strategy and a five-year Financial Resource Model (FRM), comprising detailed proposals for 2020-21 and outline proposals for 2021-22 to 2024-25.
- The Capital Financing Strategy and the Treasury Management Strategy; and
- The Capital Programme for 2020-21 to 2029-30 which totalled £532 million.

The budget setting process had been informed by the consultation exercise, with almost 600 people completing the budget simulator. The Portfolio Holder noted that services continued to perform well with Powys ranking 5<sup>th</sup> in Wales in terms of overall performance using Public Accountability Measures.

The Portfolio Holder for Finance acknowledged the additional funding received from Welsh Government. The 2020-21 provisional settlement gave Powys a cash increase of £9.5 million (5.4%) on 2019-20 which when adjusted for transfers into the formula of specific grants (schools' pay and pensions £2.06 million, and Funded Nursing Care £99,000) becomes 4.2% for Powys against the Welsh average of 4.3%. Overall Powys was ranked 14<sup>th</sup> of 22 councils in terms of its increase which represented a significant improvement compared to previous years, considerable lobbying has taken place to raise the issues facing rural authorities and this has been supported with the evidence provided through the Rural Cost Analysis.

The Council has also secured £900,000 additional funding from Welsh Government to support digital transformation.

The Portfolio Holder set out the details of the draft budget for 2020-21, which includes £6.6 million for the Education Service and Schools; £5.68 million to realign the Children's Service base budget; and £500,000 new growth in roads' maintenance. Cost reductions of £10.79 million are also proposed and Impact Assessments are provided for these.

The Council's proposed budget will be financed in part through the generation of income and the updated fees and charges register forms part of the budget documentation. The remaining net budget is financed through the Welsh Government settlement and Council Tax income which is proposed to be increased by 5%. In proposing this increase, the Portfolio Holder stressed that Cabinet have had to balance affordability for Powys residents with the ongoing need to meet increasing demand and inescapable cost pressures on vital local services.

The council's forward financial projections identify a further budget gap between 2021 and 2025 of £49 million, this is based on the worst case scenario. Officers are developing cost reduction proposals to bridge this gap and so far have identified a potential £16 million of proposals that are still in development, leaving a further £32.8 million still to identify.

The draft Capital and Treasury Management Strategy which includes the Minimum Revenue Provision Policy Statement and Annual Investment Statement is also proposed. This provides a high-level, long-term overview of how capital expenditure, capital financing and treasury management activity contribute to the

provision of services, whilst considering the risks how these will be managed and the implications for future financial sustainability. The strategy is supported by the draft Capital Programme for 2020-30 totalling £532 million. The document also includes a draft Treasury Management Strategy which sets out how the Council will ensure that it has enough funding available to fund its revenue and capital requirements and an appropriate strategy for borrowing and investing for the financial year 2020-21.

<b>RECOMMENDED to Council to approve the:</b>	<b>Reason for recommendation:</b>
<b>1. MTFs for 2020-2025 as set out in Appendix A to the report be agreed in principle.</b>	<b>To aid business planning and development of the budget over a three-year period</b>
<b>2. Draft Revenue Budget for 2020-2021 with the inclusion of a 5% increase in Council Tax shown in the Financial Resource Model in Appendix B and Table 2 of this report.</b>	<b>Statutory Requirement</b>
<b>3. Fees and Charges Register in Appendices D and E.</b>	<b>To comply with Powys County Council Income Policy</b>
<b>4. Capital Strategy and Capital Programme for 2020-30 shown in Appendix F.</b>	<b>Statutory Requirement</b>
<b>5. Minimum Revenue Provision Statement as set out on Appendix F.</b>	<b>Statutory Requirement</b>
<b>6. Treasury Management Strategy and the Annual Investment Strategy in Appendix F.</b>	<b>Statutory Requirement</b>
<b>7. Authorised borrowing limit for 2020-21 as required under section 3(1) of the Local Government Act 2003 at £429 million as set out in section 3.58 of this report.</b>	<b>Statutory Requirement</b>
<b>8. Prudential Indicators for 2020-21 as set out in section 3.54 to 3.61 of the report and Appendix F.</b>	<b>Statutory Requirement</b>

<b>5.</b>	<b>SUPPLEMENTARY PLANNING GUIDANCE - CONSERVATION AREAS, RESIDENTIAL DESIGN</b>
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Cabinet considered the Supplementary Planning Guidance (SPG) prepared in support of the Powys Local Development Plan (LDP) for Conservation Areas and Residential Design and the updated SPG Consultation Statement. The draft SPGs had been published for a six week period of public consultation and the issues raised during the consultation had been considered by the LDP Working Group who had recommended the SPGs to Cabinet for approval.

<b>RESOLVED</b>	<b>Reason for Decision</b>
<b>To approve</b> <b>(a) Supplementary Planning Guidance for: Conservation Areas, January 2020 (Appendix 1) Residential Design, January 2020 (Appendix 2) including accompanying Town Character Appraisal (Appendix 2B)</b>  <b>(b) The Supplementary Planning Guidance Consultation Statement, January 2020 (Appendix 3).</b>	<b>To meet the commitment and programme for Supplementary Planning Guidance preparation in the adopted Powys LDP.</b>

<b>6.</b>	<b>STRATEGIC REVIEW OF SCHOOLS</b>
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The Portfolio Holder explained that in order to meet the challenges facing education in the county as outlined in the recent Estyn inspection, there needed to be a thorough review of education provision in the county to shape a vision for education in Powys for the future. The Schools Service had been engaging with a range of key stakeholders and feedback from those meetings was presented to Cabinet (Appendices A, B, C) along with a draft document outlining an emerging vision for education in the county (Appendix D to the report). Approval was sought to go out to consultation on the emerging vision document before coming back to Cabinet in April. The Chair of the Learning and Skills Scrutiny Committee welcomed the breadth of what was being proposed and the revised timetable for engagement.

<b>RESOLVED</b>	<b>Reason for Decision:</b>
<b>i) To receive Appendices A, B, C and D</b>	<ul style="list-style-type: none"> <li>- To understand the issues raised during Stage 1 of the Engagement exercise</li> <li>- To understand the challenges facing education in Powys</li> <li>- To understand the emerging</li> </ul>



	<b>vision for education in Powys</b>
<b>ii) To approve carrying out Stage 2 Engagement on the 'Transforming Education in Powys' document (Appendix D)</b>	- To provide an opportunity for stakeholders to inform the development of the vision for education in Powys.
<b>iii) To approve officers engaging in discussions with neighbouring authorities and key partners as part of the development of a new vision for education in Powys</b>	- To ensure that opportunities for learners are maximised
<b>iv) Following the engagement exercise, to approve that officers bring forward to Cabinet in April 2020:</b>  <ul style="list-style-type: none"> <li>- A revised vision and guiding principles that will underpin future transformation for schools in Powys; and</li> <li>- An implementation plan to begin the journey to realise that vision.</li> </ul>	- To ensure that the vision for education in Powys takes account of stakeholder feedback <ul style="list-style-type: none"> <li>- To ensure sufficient pace to transform education in Powys, in accordance with Estyn's recommendation.</li> </ul>

<b>7. WELSH PUBLIC LIBRARY STANDARDS REPORT FOR 2018/19</b>
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Cabinet considered the Annual Report from the Welsh Government on the Library Service, for the year 2018/19. Cabinet was pleased to note the findings of the report that the Powys library service continues to deliver well for its dispersed communities, with improvements across a number of areas, opening hours maintained, and the service extending its provision in terms of training, events and activities, and in the development of shared reading services. Members paid tribute to the Portfolio Holder for Young People and Culture and the Principal Librarian and the Portfolio Holder in turn acknowledged the contribution of partners and volunteers.

<b>RESOLVED</b>	<b>Reason for Decision</b>
<b>That the outcomes in the Welsh Public Library Standards Annual Report from Welsh Government on Powys Library Service 2018/19 are duly noted and considered in forward planning.</b>	<b>In order that Powys Library Service continues to provide a quality service to residents, maintains its performance under the 6<sup>th</sup> Framework of Welsh Public Library Standards, and seeks to address as far as possible those areas which do not currently meet</b>

<b>Welsh Government's standard.</b>
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<b>8. APPROVAL OF ENFORCEMENT POLICY</b>
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Cabinet considered the adoption of an enforcement policy for Trading Standards, Environmental Health and Licensing and a guidance note covering proceeds of crime.

<b>RESOLVED</b>	<b>Reason for Decision</b>
<b>That the Enforcement Policy covering Trading Standards, Environmental Health and Licensing in Appendix A to the report and guidance note covering the proceeds of crime Appendix B be approved.</b>	<b>The policy defines how Trading Standards, Environmental Health and Licensing deal with alleged breaches of legislation in a fair and proportionate way.</b>

<b>9. BRECON AND NEWTOWN BUSINESS IMPROVEMENT DISTRICTS - PROGRESS REPORT</b>
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This item was deferred to the next meeting.

<b>10. CORPORATE SAFEGUARDING 6 MONTHLY UPDATE AS AT 31 DECEMBER 2019</b>
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Cabinet received the 6 monthly report from the Corporate Safeguarding Group which set out updates on the key safeguarding areas being kept under review by the group.

<b>RESOLVED</b>	<b>Reason for Decision:</b>
<b>Cabinet receives the 6 monthly briefing update from the Chair of the Corporate Safeguarding Group</b>	<b>To ensure Cabinet are fully sighted on work to date.</b>

<b>11. IMPROVEMENT AND ASSURANCE BOARD MINUTES</b>
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Cabinet received the minutes of the Improvement and Assurance Board meetings held on 27<sup>th</sup> November and 19<sup>th</sup> December 2019.

**12. CORRESPONDENCE**

There were no items of correspondence.

**13. DELEGATED DECISIONS TAKEN SINCE THE LAST MEETING**

Cabinet noted the delegated decisions taken since the last meeting.

**14. FORWARD WORK PROGRAMME**

The Leader reminded Portfolio Holders to ensure that the forward work programme was kept up to date.

**15. TRANSFER OF ASSETS TO THE HOUSING SERVICE TO ENABLE THE PROVISION OF AFFORDABLE HOUSING IN POWYS**

Cabinet considered proposals to transfer a number of surplus property sites in the ownership of the Council to the Housing Service to enable it to deliver on its objective of providing affordable housing.

<b>RESOLVED</b>	<b>Reason for Decision</b>
That the sites listed in Appendix 1 to the report are transferred to the Housing Revenue Account at Market Value, such value having been determined by the independent District Valuer Services (DVS).	<p>The reason for the recommendation is to ensure that the Housing Service is able to progress its objective of delivering new affordable housing to residents of Powys in a timely manner, in accordance with the Vision 2025.</p> <p>The transfer of the sites at the independently assessed Market Value will ensure that the Council is receiving maximum value for its land holdings without the need for lengthy marketing to be undertaken.</p>
That the New Build budget profile is amended to increase the budget in 2019/20 by £1m.	

**16. ACCESS TO INFORMATION**

**RESOLVED** to exclude the public for the following item of business on the grounds that there would be disclosure to them of exempt information under category 3 of The Local

**Authorities (Access to Information) (Variation) (Wales) Order 2007).**

**17. CHILDREN'S SERVICES PLACEMENTS AND ACCOMMODATION**

Cabinet considered proposals for Children's Services to provide a suite of Care Homes (Therapeutic, Residential and Short-Breaks) and Semi-independent Living Accommodation within the county for children and young people in Powys. Cabinet were supportive of the proposals.

<b>RESOLVED</b>	<b>Reason for Decisions:</b>
<p><b>1. That Cabinet consider, approve and endorse the content of the report and the direction of travel of Children's Services Placements and Accommodation.</b></p> <p><b>2. That a final decision on each of the provisions set out in Section 3 of the report is taken after consideration of the business case for each provision.</b></p>	<p><b>In order to progress the proposed Children's Services model for Placements and Accommodation and provide a suite of Care Homes (Therapeutic, Residential and Short-Breaks)/Semi-independent Living Accommodation in Powys for Powys Children Looked After closer to home.</b></p>

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

**CYNGOR SIR POWYS COUNTY COUNCIL.****CABINET EXECUTIVE****February 11<sup>th</sup>, 2020**

**REPORT AUTHOR:** County Councillor James Evans  
Portfolio Holder for Economic Development, Housing  
and Regulatory Services

**REPORT TITLE:** Housing Revenue Account Rent and Related Charges  
Changes for 2020-21

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**REPORT FOR:** Decision

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**1. Purpose**

- 1.1. This report sets out a series of recommended changes for Council Housing Rents, Garage Rents and all property and tenancy related Service Charges, for the financial year 2020-21.
- 1.2. A separate report setting out the detail of Housing Revenue Account (HRA) Thirty Year Business Plan recommended for the period beginning in April 2020 and reflecting the decisions taken in respect of the recommendations made in this report, will be presented separately to Cabinet.

**2. Background**

- 2.1 The HRA is made up of income from rents and other housing related charges. This income is used to fund all HRA landlord related services including salaries, central service recharges and all services delivered to the Council's tenants. It also underpins the Council's ability to deliver a balanced and sustainable HRA Business Plan through financing the borrowing needed to invest in maintaining existing and developing new homes.
- 2.2 An important element of the HRA Business Plan is the projected future rental income over a thirty year cycle. Rents need to be increased annually to make sure that the Business Plan, which like any business faces cost increases that are some cases beyond its control remains sustainable. If the Business Plan does not generate enough income to meet its commitments, which include maintaining all homes to the Welsh Housing Quality Standard (WHQS) and improving thermal efficiency of Powys council housing as well as providing new homes to meet growing housing needs not fulfilled by open market housing, it will not be viable. The Welsh Government will not approve a non-viable HRA Business Plan and as a consequence the Council will not receive

the Major Repairs Allowance (MRA), worth £3.63 million in capital funding each year, to support ongoing investment.

- 2.3 This report sets out the changes in rents and other charges that accrue to the HRA that will need to be introduced for 2020-21, to make sure the HRA Business Plan remains both sustainable and viable.
- 2.4 The recommendations take into account compliance with the Welsh Government's Policy for Social Housing Rents (Rent Policy). The Welsh Government's Rent Policy for 2020-2021 is described below
- An annual rent uplift of up to CPI+1%, each year for five years from 2020-21 to 2024-25 using the level of CPI from the previous September each year. For September 2019 this was 1.7%. The five year rent policy is being introduced to provide certainty and stability for tenants and landlords.
  - CPI+1% will be the maximum increase allowable in any one year. However, the Welsh Government notes that CPI+1% must not be regarded as an automatic uplift. Any decisions on changes to rent should take into account the affordability of rents for tenants. All social landlords in Wales, as part of any decision on increasing rents, will be required to prepare an annual assessment of affordability, cost efficiencies and be able to demonstrate that their homes and services represent value for money.
  - The level of rents for individual tenants can be reduced or frozen or can rise by up to an additional £2 over and above CPI+1%, on condition that the total rental income collected by a social landlord increases by no more than CPI+1%. This provision is designed to allow social landlords to restructure rents within their overall stock and within the overall rent increase envelope of CPI+1%, where necessary, to align rents with property types.
  - When setting rents, the Council is expected to take into account affordability for tenants of the whole cost of living in a property including, for example, rent, service charges and energy costs.

### **3. Advice**

- 3.1. The Council, like all social landlords working in Wales, will be required to justify its rent increases via a robust annual assessment on cost efficiencies and which puts affordability for tenants at the core of its considerations. At the same time, the Welsh Government recognises that not enough homes are being built, with particular concerns about the wider impacts arising from the shortage of social housing. There is therefore a need to strike a balance between affordability and allowing the Council to contribute towards increasing the supply of affordable, energy efficient and well maintained homes.

## 3.2 Rents

- 3.2.1 The Council's HRA Business Plan has been stress tested to see what changes in rents and services charges need to be made to allow it to remain viable and able to increase the number of affordable homes available across Powys. The conclusion is that a rent increase of CPI+1%, equivalent to 2.7%, is necessary to make sure that the Housing Services is sustainable and able to provide homes and services for both current and future tenants. Such an increase allows rents to remain affordable and so does not contribute excessively to any increase in the cost of living for the Council's tenants.
- 3.2.2 Such an increase will still leave Powys rents below the target rent band previously set by the Welsh Government for social landlords, one of only five out of a total of eleven local authority and thirty six housing associations landlords in such a position. Powys rents will be 0.9% below the target rent band.
- 3.2.3 It is therefore recommended that with effect from April 2020 the average rent in Powys will increase by 2.7% (£2.42 per week) for all 5375 Council owned homes. This is considerably lower than last year's average increase of £4.25 per week. Table One below shows the average rent in 2019-2020 and 2020-21 and also shows the rent of the properties which will experience the greatest increase. It should be noted that the figures show rents over a 52 week rent year. In Powys rents are charged over a 48 week rent year with two 'rent free weeks' at Christmas and two 'rent free weeks' at Easter.

**Table One: HRA Rents for 2019-20 and 2020-21**

	<b>Current Rent - 2019-2020</b>	<b>Recommended Rent - 2020-2021</b>	<b>Weekly Increase</b>
<b>Average HRA rent</b>	£89.67	£92.08	£2.42
<b>Maximum HRA rent</b>	£189.12	£194.23	£5.11

- 3.2.4 The total rental income to the HRA from housing rents, if the recommendation is approved, will increase from £25,062,765 in 2019-20 to £25,736,360 in 2020-21. This represents gross income before any allowance is made for void rent loss arrears of rent. If the recommendation is not approved, then taking into account inflation<sup>1</sup> and other unavoidable cost increases faced by the landlord service, it will be necessary to reduce the level of services provided, including investment in the Council's housing assets.

## 3.3 Service Charges

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<sup>1</sup> The annual rate of inflation for all construction work was 3.0% in September 2019, the latest date for which figures have been published by the Office of National Statistics.

3.3.1 Service charges will need to be amended from April 2020 to allow the Council to recover the cost of providing these services. The service charges levied in 2019-20 are shown alongside the proposed charges for 2020-21 in Table Two. It should be noted that service charges vary from year to year, dependent on the costs to the service of providing those services in the previous full year.

**Table Two: Service Charges for 2019-20 and 2020-21**

Service Charge	Highest Weekly Service Charge		Lowest Weekly Service Charge (where a charge is made)		How the Service Charge is Calculated
	2019-2020	2020-2021	2019-2020	2020-2021	
Grounds maintenance	£1.58	£1.59	£0.04	£0.04	Calculated on a site-by-site basis, based on the size of the site and the cost of undertaking the work
Communal cleaning	£1.38	£1.61	£1.38	£1.61	Based on the total cost of the work, divided by all those who receive the service.
Communal heating and lighting	£0.56	£0.91	£0.56	£0.91	Based on the total cost of the service, divided by all those who receive the service.
Fire safety work	£1.74	£1.74	£0.12	£0.12	Based on actual costs per block and divided by all residents of the block.
TV aerials	£0.16	No cost as of 21.1.2020	£0.16	No cost as of 21.1.2020	Based on the costs associated with each aerial and divided by all potential users of the aerial system.
Repairs to entrance doors	£1.04	TBA	£0.01	TBA	Based on actual costs per block and divided by all residents of the block.
Communal washing lines	£0.44	£0.44	£0.26	£0.26	Based on actual costs per block and divided by all residents of the block.
Sewerage treatment	£6.33	£5.65	£6.33	£5.65	Based on the total cost of the work, divided by all those who receive the



					service.
Lift maintenance	£1.50		£0.75		Costs split equally between all tenants (for servicing)
Repairs to communal areas in flats	£2.45	£2.45	£0.01	£0.01	Costs per block divided between all residents of the block

3.3.2 For the majority of service charges, the calculation of the charge is based on the costs incurred in the previous full year. The service charge for lift maintenance for the only block of flats which benefits from a through floor vertical lift (Maes yr Ysgol in Llanidloes), is based on the cost of the service agreement with the contractor, plus the cost of any repairs undertaken in the previous financial year.

#### 3.4 Careline Community Alarm Service

3.4.1 Current policy dictates that should a property be designated as being one particularly suitable for older people, the tenancy agreement would include the tenant receiving the full Careline service. The tenant has no choice but to pay the charge, currently £1.10 per week. The charge does not reflect the full cost of providing the service which is £1.66 per week. The cost for tenants is cross subsidised by the wider HRA. Customers who live in privately owned accommodation currently pay £3.62 per week.

3.4.2 During 2019-2020, a review has looked at the future of the Careline service for tenants of the Council. The review was prompted by the need to replace the current equipment, which is of an age that it is beyond economical maintenance and repair. The review has shown that while there is continued demand for the service, people would like to be able to opt out if they feel they would not benefit from the service. The HRA Business Plan for 2020-2021 includes a one off provision of £600,000 for the necessary capital investment to replace the Careline equipment with up to date kit that will be more reliable, less costly to maintain and able to offer a greater range of services.

3.4.3 It is therefore recommended that as the new equipment is introduced during 2020-2021, the decision to take the Careline Service will rest with the tenant and it will no longer be mandatory for tenants of designated properties. This will allow greater customer choice. At the same time, Careline will be available to all tenants who would like to pay for such a service. This may include people who are vulnerable for reasons other than age and who would benefit from having 24/7 access to the Careline Service.

3.4.4 To recover the cost of the introduction of new, higher quality equipment, it will be necessary to reconsider the charges made for Careline. As part of the Council's Rent Policy for 23019-2020, it was agreed that any increase to the cost of the Careline service would be

introduced in April 2021. This will allow revised charge to reflect the outcome of the review conducted during 2019-2020 and the actual cost of installing the new equipment. It is therefore recommended that the charge for Careline in 2020-2021 remains at £1.10 per week.

**Table Three: Careline Community Alarm Charges for 2019-2020 and 2020-2021**

	<b>Current Charge - 2019-2020</b>	<b>Recommended Charge - 2020-2021</b>	<b>Weekly Increase</b>
<b>Careline Community Alarm Charge</b>	£1.10	£1.10	£0.00

### 3.5 Garages

3.5.1 Garage and garage plots, although considered to be part of the HRA, are not always rented by housing tenants of the Council. The Welsh Government is currently considering whether or not garages that are not rented by housing tenants should remain within the ambit of the HRA. Until such time as a definitive requirement to amend the way in which local authorities account for garages, no change is proposed for the accounting practice currently used to manage the Powys garage estate.

3.5.2 During 2019-2020, a review has been undertaken of all the garage sites and plots owned by the Council. Due to the increases in the size of cars since the provision was originally made, the current garages are not always used to help alleviate on-street parking and so have a limited benefit to the wider community. Garages and garage plots are increasingly rented as an alternative to commercial provision for general storage. The review has therefore taken into account the demand for the garages for car parking, the condition of the garages, the suitability of the garages for automotive storage and the options for other uses for the sites, for example the development of new homes. Income from garages currently accounts for £564,565 per annum but expenditure on repairs and maintenance, and replacement of garages, has historically been extremely low. The Council has been ‘sweating’ a deteriorating asset. For garage sites to continue to provide a positive income, investment in either maintenance or new build will be necessary in those sites that are to be retained.

3.5.3 Table Four below show the current rents for the 1,404 HRA garages in 2019-20 in Powys and the proposed rent for 2020-21. It also shows the current and proposed rents for the 160 garage plots owned by the HRA. It is recommended that HRA garage rents in Powys are increased by 3.00%+£1.00 per week, and garage plots by £17.50 per annum. This will help to align rents more closely with commercial provision and to support the funding of the new approach to garage

provision, which will reshape the Council's role in the garage market to better meet current demands and community needs.

**Table Four: Garage and Garage Plot Rents for 2019-20 and 2020-21**

	Existing Rent - 2019-20	Recommended Rent - 2020-21
<b>Garage Rents</b>	£8.60	£9.86
<b>Rent for Garage Plots</b>	£121.46	£138.96

3.5.4 The total rental income to the HRA from the provision of garages, if the recommendation is approved, will increase from £564,565 in 2019-20 to £664,350 in 2020-21.

### 3.6 Gypsy and Traveller Sites

3.6.1 The Council currently operates two Gypsy and Traveller Sites in Powys – Leighton Arches in Welshpool and Kings Meadow in Brecon. A third is planned for Machynlleth. These are managed by the Housing Service although the costs of providing this service falls not on the HRA but on the General Fund. Service charges for the sites currently cover grass cutting for the Kings Meadow Site and sewerage for both sites.

3.6.2 It is recommended that weekly occupation charges for Gypsy and Traveller sites in 2020-2021 will be increased by 2.7%, in line with the increase in HRA rents. Table Five below shows the existing charge for occupation of a plot on the Gypsy and Traveller sites, and associated service charges, in the current year and the recommended charge for 2020-21.

**Table Five: Gypsy & Traveller Site Weekly Occupation Charge and Service Charges for 2019-20 and 2020-21**

	2019-2020	2020-21
<b>Weekly Occupation Charge for plots on Gypsy &amp; Traveller sites</b>	£101.04	£104.24
<b>Grass Cutting Service Charge (Kings Meadow site only)</b>	£0.61	£0.61
<b>Sewerage Service Charge</b>	£5.85	£5.21

3.6.4 The total income to the General Fund from the Council's gypsy and traveller sites, if the recommendation is approved, will increase from £133,843 in 2019-20 to £136,449 in 2020-21.

### 3.7 Temporary Accommodation for Homeless Households

3.7.1 It is recommended that the weekly charge for the occupation of temporary accommodation, provided to households to whom the authority owes a statutory duty is increased by 2.7% in 2020-2021. It should be noted that the scope for setting charges for temporary

accommodation is influenced by the need to recognise the often low incomes of those who are homeless, the restrictions the social security system places on the amount of help homeless people can claim for accommodation and the capacity of the General Fund to meet the costs for those who are unable to make full payments from their own resources. The increase recommended represents a pragmatic compromise between these external factors. Table Six shows the current and proposed weekly charge for the occupation of temporary homeless accommodation managed by the council.

**Table Six. Temporary Homelessness Accommodation Weekly Occupation Charges for 2019-2020 and 2020-2021**

Weekly occupation charge for temporary homeless accommodation	Rent including Council Tax		Service charge		Weekly total occupancy charge	
	2019-2020	2020-2021	2019-2020	2020-2021	2019-2020	2020-2021
<b>Single person</b>	£101.73	£104.48	£15.77	£16.96	£117.50	£121.44
<b>Couple</b>	£124.00	£127.35	£19.58	£20.11	£143.58	£147.46
<b>Family</b>	£147.93	£151.92	£28.15	£28.91	£176.08	£180.83

### 3.8 Other Rental Charges

3.8.1 The HRA collects rent from other services and properties, albeit on a small scale. These include such things as scooter stores and sheds. It is recommended that all other rental charges, not detailed above, will increase by 2.7% from April 2020.

## 4. Resource Implications

### 4.1 Financial

4.1.1 The recommended increases to housing rents and other related charges will allow Powys County Council to continue to maintain a viable and sustainable Thirty Year HRA Business Plan, continue to provide high quality services, develop more new social rented homes and support continued investment in its homes to maintain WHQS and improve thermal efficiency.

4.1.2 The Council's Section 151 Officer's notes the content of the report and confirms that the proposals can proceed as they comply with the Welsh Governments Rent Policy for 2020-21 and maintains the viability of the HRA Business Plan.

## 5. Legal implications

5.1 The Council's Monitoring Officer's comments on this report and its recommendations are that the recommendation can, with regard to legal considerations, be supported.

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

6.1 This matter has equal effect across the Council.

**7. Integrated Impact Assessment**

7.1 An Impact Assessment is attached to this report as Appendix A.

**8. Recommendation**

8.1 The recommendations set out in this report are:

- 8.1.1 That with effect from April 2020 the average rent in Powys will increase by 2.7% (£2.42 per week) for all 5375 Council owned homes
- 8.1.2 That service charges charged to HRA tenants are amended from April 2020 to allow the Council to recover the cost of providing these services during 2019-2020
- 8.1.3 That the weekly cost for Careline in 2020-2021 is £1.10 per week
- 8.1.4 That the Careline service is, as part of the installation of new equipment during 2020-2021, no longer considered a mandatory part of the tenancy of a property designated for older people.
- 8.1.5 That HRA garage rents in Powys for 2020-2021 are increased by 3.00%+£1.00 per week.
- 8.1.6 That garage plot charges for 2020-2021 increase by £17.50 per annum.
- 8.1.7 That the weekly occupation charges for Gypsy and Traveller sites in 2020-2021 will be increased by 2.7%.
- 8.1.8 That all other rental and service charges, not detailed above, will increase by 2.7% from April 2020.

Contact Officer: Andy Thompson (Tenancy Services Manager)

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Email: andy.thompson@powys.gov.uk

Head of Service: Nina Davies

Corporate Director: Nigel Brinn

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

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## Impact Assessment (IA)

*The integrated approach to support effective decision making*



**Please read the accompanying guidance before completing the form.**

This **Impact Assessment (IA)** toolkit, incorporates a range of legislative requirements that support effective decision making and ensure compliance with all relevant legislation. **Draft versions of the assessment should be watermarked as “Draft” and retained for completeness. However, only the final version will be made publicly available. Draft versions may be provided to regulators if appropriate. In line with Council policy IAs should be retained for 7 years.**

<b>Service Area</b>	Housing Services	<b>Head of Service</b>	Nina Davies	<b>Director</b>	Nigel Brinn	<b>Portfolio Holder</b>	Cllr James Evans
<b>Proposal</b>	Changes to Housing Rent and Service Charges for 2020-2021						
<b>Outline Summary / Description of Proposal</b>							

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The Housing Revenue Account (HRA), which is the means by which all municipal landlords in Wales are expected to manage the financing of their landlord services, is funded primarily by the income generated from rents. Additional one-off payments are available from the Welsh Government to support the building of new council-owned homes. These payments are designed to reduce the cost of providing additional homes so that the future rent charges can be set at genuinely affordable social rent levels. An annual sum of £3.63m is made available to the Council by the Welsh Government – this is the Major Repairs Allowance (MRA) to support the maintenance of municipal housing to the Welsh Housing Quality Standard (WHQS), which is set by the Welsh Government.

The Council cannot use its General Fund (GF) to subsidise the provision of municipal landlord services and the HRA cannot be used to fund services which are expected to be paid for out of the GF. The HRA is required by the Welsh Government to, at all times, be sustainable and self-financing. In short, it can – with the limited exceptions set out above – only spend what it collects in rental income. That expenditure must also cover the debts incurred to buy and build the housing stock. These are long term loans managed on behalf of the Housing Service by the Council's Treasury Team.

It is possible for services to be jointly funded by the HRA and the GF as long as the joint funding proportion represents the end beneficiary profile of the service provided. In Powys, for example, Housing Management and Options Officers provide service to tenants (HRA), such as income recovery, and services to those who are homeless (GF), such as advice.

The rents the Council can charge for properties held within the HRA are subject to controls set by the Welsh Government. These controls include expected bands for different types of properties in different areas, assessed by reference to a number of market conditions including house prices, private rents and local incomes. Increases in rents are limited by a formula set by the Welsh Government. For the period 2020-2021 to 2025-2026 this formula allows social landlords in Wales, both councils and housing associations, to increase rents by no more than CPI+1%, averaged across each landlord's entire stock. This means that while rents could be increased by more than CPI+1% on some properties, within the bands set by the Welsh Government, the overall increase for all homes cannot increase the income by more than CPI+1%. This approach is designed to encourage landlords to operate efficiently while maintaining pressure to keep all rents as affordable as practicable.

The HRA is able to recover service charges for services provided for specific properties or groups of property where it is more practical and efficient to provide services on a collective basis. Examples include grass cutting of communal areas in and around flatted blocks. Such charges are not subject to any formal controls but must not amount to more than the actual cost of providing the services.

The HRA in Powys owns a number of garages, garage sites and retail shops. The rents on these are not controlled by the Welsh Government and can therefore be set to reflect the Council's strategic and financial aims for these assets.

This proposal, in the form of the Cabinet Report: "Housing Revenue Account Rent and Related Charges Changes for 2020-21", sets out the Council's proposals for all charges and rents relating to the HRA for the period 2020-2021.



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1. Version Control (services should consider the impact assessment early in the development process and continually evaluate)

Version	Author	Job Title	Date
V1	Andy Thompson	Tenancy Services Manager	January 2 <sup>nd</sup> , 2020

2. Profile of savings delivery (if applicable)

2020-21	2021-22	2022-23	2023-24	2024-2025	2025-26
£ N/A	£ N/A	£ N/A	£ N/A	£ N/A	£ N/A

3. Consultation requirements

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Consultation Requirement	Consultation deadline/or justification for no consultation
Public consultation required	<p>As a result of the General Election in December 2019, the Welsh Government was unable to issue its rent policy until late in December. This means that there has been a reduced amount of time to assess the possible impacts of the policy on the Powys HRA and make informed recommendations to Members about future rent and associated charges. Changes to rents and service charges must be notified to tenants and affected residents no later than 28 days before the changes are due to come into effect. It is therefore necessary for the Council to come to a decision about its proposals by no later than February 28th to allow sufficient time for tenants and residents to be notified of the changes. Residents can respond to the proposed changes during this time. However all tenancy and related agreements issued by the Council make provision for annual changes and uplifts in rents and service charges.</p> <p>In addition to formally notifying tenants and affected residents, the Council will, in the interests of open governance, advise the following groups of its intentions:</p> <ul style="list-style-type: none"> <li>• Strategic Housing Partnership</li> <li>• Tenant Scrutiny Panel</li> </ul>

4. Impact on Other Service Areas

**Does the proposal have potential to impact on another service area? (Have you considered the implications on Health & Safety, Corporate Parenting and Data Protection?)  
 PLEASE ENSURE YOU INFORM / ENGAGE ANY AFFECTED SERVICE AREAS AT THE EARLIEST OPPORTUNITY**

Income and Awards – impact on housing benefit payments for tenants not receiving social security housing assistance via the Universal Credit system.

5. How does your proposal impact on the council’s strategic vision?

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<b>Council Priority</b>	<b>How does the proposal impact on this priority?</b>	<b>IMPACT</b> Please select from drop down box below	<b>What will be done to better contribute to positive or mitigate any negative impacts?</b>	<b>IMPACT AFTER MITIGATION</b> Please select from drop down box below
<b>The Economy</b> <b>We will develop a vibrant economy</b>	Social rents allow households to keep more of their income for their own use rather than it going to private landlords.	Neutral	Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes, supporting the economy by allowing people to have more money to spend in the wider economy. It will also keep rents at a genuinely affordable level, below that expected by private rented accommodation providers. The Council will also be able to maintain its investment programme in municipal housing – which accounts for one in ten of all homes in Powys – providing employment and business opportunities for local and regional people and enterprises. This will help support the ‘Powys Pound’.	Good
<b>Health and Care</b> <b>We will lead the way in effective, integrated rural health and care</b>	Social rented housing is required to meet the Welsh Housing Quality Standard. This includes making sure homes are thermally efficient, do not suffer from intrinsic damp and have decent facilities for such things as food preparation and personal hygiene. Such requirements do not apply to other tenures.	Neutral	The Council will with the rent changes set out in this proposal be able to maintain its investment programme to keep municipal housing at the Welsh Housing Quality Standard, providing for 10% of all households in Powys safe, healthy homes in both urban and rural locations.	Good

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Council Priority	How does the proposal impact on this priority?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<b>Learning and skills</b> <b>We will strengthen learning and skills</b>	<p>Homelessness, which is currently rising across Powys, can significantly affect households with children having a detrimental effect on the children's education as they do not have a suitable environment to learn. Any reduction in the Council's ability to increase the provision of accessible, secure and affordable homes will adversely impact on the learning opportunities of many children.</p>	<p>Neutral</p>	<p>Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes to help provide homes for families. An additional benefit of providing more homes in a way that can help stem the rise in homelessness is that the Council may not face such a steep increase in demands on its general Fund for services to help those at risk of or experiencing homelessness.</p> <p>The piloting of a Pre-Tenancy Assessment in 2020 for each new tenant will help the Council work with people to reduce the risks of rent arrears and be better able to help people gain new skills, retrain and improve their employment opportunities. This will run alongside the existing Highways to Work programme, another economy focused project funded by the HRA for tenants of the Council.</p>	<p>Good</p>
<b>Residents and Communities</b> <b>We will support our residents and communities</b>	<p>As landlord for one in ten of all Powys households, and responsible for the neighbourhoods of many owner occupiers living on estates developed by the Council, the Council needs to have the capacity and capability to maintain these areas to a high standard so that people can 'Love Where They Live'.</p> <p>The Housing Service supports active intelligence gathering about the way its services are received, experienced and perceived by the people of Powys, allowing improvements to be made that benefit people across the county.</p>	<p>Neutral</p>	<p>The reasonable and comparatively low increases in social rents set out in this proposal will allow the Housing Service to continue to positively support the well-being of neighbourhoods and communities through the new in-house directly provided Estate Maintenance Service (which is dramatically improving the appearance of estates), developing the new Caretaker Service and supporting the provision and improvements of play area provision on municipal housing estates.</p>	<p>Good</p>

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### Source of Outline Evidence to support judgements

Welsh Government Rent Policy (December 2019); Powys HRA Business Plan (2019); STAR Survey of Tenant Satisfaction (June 2019); WHQS Compliance Policy for Powys (2019); Homeless Review and Strategy (2018); Compliance One Hundred Interim Report (December 2019); 'Love Where You Live' Tenancy Sustainability Strategy (2018); WHO 12<sup>1</sup> quarterly returns; 'Homes in Powys' housing waiting list data; Housing Service performance data.

6. How does your proposal impact on the Welsh Government's well-being goals?

Well-being Goal	How does proposal contribute to this goal?	IMPACT Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	IMPACT AFTER MITIGATION Please select from drop down box below
<b>A prosperous Wales:</b> An innovative, productive and low carbon society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change); and which develops a skilled and well-educated population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.	Social rents allow households to keep more of their income for their own use rather than it going to private landlords.  Any reduction in the ability of the Council to fund new affordable homes will reduce the ability of Powys to attract and retain the employees needed to contribute towards prosperous Wales. This risk increases in the high housing cost areas of Powys.	Neutral	Providing the opportunity for the Council to support the development of more affordable, social rented homes by making judicious increases in rents will support the economy by allowing people to have more money to spend in the wider economy. It will also keep rents at a genuinely affordable level, below that expected by private rented accommodation providers. The Council will also be able to maintain its investment programme in municipal housing – which accounts for one in ten of all homes in Powys – providing employment and business opportunities for local and regional people and enterprises. This will help support the 'Powys Pound'.	Good
<b>A resilient Wales:</b> A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological resilience and the capacity to adapt to change (for example climate change).	No impact expected	Choose an item.		Choose an item.

<sup>1</sup> WHO 12: mandatory quarterly return to the Welsh Government, reporting the incidence of homelessness in Powys and the work undertaken by the Council to both prevent and deal with homelessness.

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Well-being Goal	How does proposal contribute to this goal?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<p><b>A healthier Wales:</b>                      A society in which people’s physical and mental well-being is maximised and in which choices and behaviours that benefit future health are understood.</p> <p><b>Public Health (Wales) Act, 2017:</b>                      Part 6 of the Act requires for public bodies to undertake a health impact assessment to assess the likely effect of a proposed action or decision on the physical or mental health of the people of Wales.</p>	<p>Social rented housing is required to meet the Welsh Housing Quality Standard. This includes making sure homes are thermally efficient, do not suffer from intrinsic damp and have decent facilities for such things as food preparation and personal hygiene. Such requirements do not apply to other tenures.</p> <p>Insufficient social rented housing of the type provided by the Council means that many people are compelled to find accommodation in the private rented sector, which has higher rents, considerably less tenure security (most usually no more than six months) and a high likelihood of poor housing conditions. This type of accommodation is known to contribute to poor mental and physical health.</p> <p>Homelessness, which is currently rising across Powys, can significantly affect the health of affected households. One the main causes of homelessness is the lack of secure, affordable rented accommodation of the type provided by the Council.</p>	<p>Poor</p>	<p>Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes to help provide and maintain a rising number of ‘healthier’ homes in Powys.</p>	<p>Good</p>

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Well-being Goal	How does proposal contribute to this goal?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<p><b>A Wales of cohesive communities:</b>                      Attractive, viable, safe and well-connected Communities.</p>	<p>The Council's role as a social landlord is consistent with all relevant Powys County Council strategic plans, in particular the 'Powys Housing Strategy', 'Vision 2025' and 'Love Where You Live'. All the partnerships and organisations responsible for these strategic plans believe and support the principle that communities can thrive and prosper if individuals, families and groups are treated fairly, with respect, and given access to rights and services – which includes a safe, secure and affordable home. Indeed, a decent home is for most people the foundation of being able to have and enjoy a decent life.</p> <p>Any reduction in the ability of the Council to fund new affordable homes will reduce the ability of Powys to make sure that communities, especially those in rural areas, remain viable and sustainable by offering homes for people across the socio-economic spectrum.</p>	<p>Neutral</p>	<p>The Council will be better able to support the development of more affordable, secure, social rented homes and maintain those it already owns to a decent standard, providing the bedrock for 'attractive, viable, safe and well connected communities' by progressing the pragmatic changes to rents for social housing contained in this proposal.</p>	<p>Good</p>

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Well-being Goal	How does proposal contribute to this goal?	<b>IMPACT</b> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<b>IMPACT AFTER MITIGATION</b> Please select from drop down box below
<p><b>A globally responsible Wales:</b> A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing may make a positive contribution to global well-being.</p> <p><b>Human Rights - is about being proactive (see guidance)</b></p> <p><b>UN Convention on the Rights of the Child:</b> The Convention gives rights to everyone under the age of 18, which include the right to be treated fairly and to be protected from discrimination; that organisations act for the best interest of the child; the right to life, survival and development; and the right to be heard.</p>	<p>With social housing in Powys not being able to meet growing demand for safe and secure homes that are affordable to people with modest incomes, the county will face the increased risks of more homelessness having detrimental impacts of social well-being, poor standards of accommodation affecting the quality of life and opportunities available to children and their parents and poorly maintained housing increasing fuel poverty and necessitating excessive use of fuels to keep homes warm.</p>	<p>Poor</p>	<p>The reasonable and comparatively low increases in social rents set out in this proposal will allow the Housing Service to continue to positively support the well-being of neighbourhoods and communities by increasing the availability of high quality, fuel efficient homes.</p>	<p>Poor</p>
<p><b>A Wales of vibrant culture and thriving Welsh language:</b> A society that promotes and protects culture, heritage and the Welsh language, and which encourages people to participate in the arts, and sports and recreation.</p>				
<p><i>Opportunities for persons to use the Welsh language, and treating the Welsh language no less favourable than the English language</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>Opportunities to promote the Welsh language</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>Welsh Language impact on staff</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>People are encouraged to do sport, art and recreation.</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><b>A more equal Wales:</b> A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio economic background and circumstances).</p>				
<p><i>Age</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>Disability</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>Gender reassignment</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>
<p><i>Marriage or civil partnership</i></p>	<p>No impact expected</p>	<p>Choose an item.</p>		<p>Choose an item.</p>

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Well-being Goal	How does proposal contribute to this goal?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<i>Race</i>	No impact expected	Choose an item.		Choose an item.
<i>Religion or belief</i>	No impact expected	Choose an item.		Choose an item.
<i>Sex</i>	No impact expected	Choose an item.		Choose an item.
<i>Sexual Orientation</i>	No impact expected	Choose an item.		Choose an item.
<i>Pregnancy and Maternity</i>	No impact expected	Choose an item.		Choose an item.

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**Source of Outline Evidence to support judgements**

Welsh Government Rent Policy (December 2019); Powys HRA Business Plan (2019); STAR Survey of Tenant Satisfaction (June 2019); WHQS Compliance Policy for Powys (2019); Homeless Review and Strategy (2018); Compliance One Hundred Interim Report (December 2019); 'Love Where You Live' Tenancy Sustainability Strategy (2018); WHO 12<sup>2</sup> quarterly returns; 'Homes in Powys' housing waiting list data; Housing Service performance data.

7. How does your proposal impact on the council's other key guiding principles?

Principle	How does the proposal impact on this principle?	<b>IMPACT</b> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<b>IMPACT AFTER MITIGATION</b> Please select from drop down box below
<b>Sustainable Development Principle (5 ways of working)</b>				
Tudalen 29  <b>Long Term:</b> Looking to the long term so that we do not compromise the ability of future generations to meet their own needs.	A housing service with less capacity is unlikely to be able to progress its preventative agenda (preventing homelessness, housing market dysfunction, poor housing standards). It will become an increasingly reactive service which will ultimately cost the community and households more and will not meet the needs of future generations. For example, the impact of the lack of social house building since the mid nineteen eighties can now be seen in property values being beyond the mortgage capacity of people with modest and in many areas medium incomes. This, when combined with the after effects of the financial 'crash' of 2008 which has introduced a restricted mortgage market, has compelled people to find accommodation in the private rented sector, where tenancies are insecure. Moreover, it is in the private rented sector that poor property conditions are most prevalent, creating a potential risk of accommodation currently in use not being fit for purpose in for future generations.	Poor	The Council will be better able to support the development of more affordable, secure, social rented homes and maintain those it already owns to a decent standard, providing a solid foundation for future generations to have secure, affordable homes by progressing the pragmatic changes to rents for social housing contained in this proposal.	Good

<sup>2</sup> WHO 12: mandatory quarterly return to the Welsh Government, reporting the incidence of homelessness in Powys and the work undertaken by the Council to both prevent and deal with homelessness.

# Cyngor Sir Powys County Council

## Impact Assessment (IA)

The integrated approach to support effective decision making



Tudalen 30

Principle	How does the proposal impact on this principle?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<b>Collaboration:</b> Working with others in a collaborative way to find shared sustainable solutions.	The service currently collaborates with a number of organisations and agencies. However with fewer resources and capacity there will be less collaboration and so an overall reduction in services.	Neutral	A sustainable and adequately resourced HRA will help the Council to work more effectively with a range of businesses, investors and service agencies to provide together services needed and desired by the people of Powys.	Good
<b>Involvement (including Communication and Engagement):</b> Involving a diversity of the population in the decisions that affect them.	The Housing Service supports active intelligence gathering about the way its services are received, experienced and perceived by the people of Powys, allowing improvements to be made that benefit people across the county.	Neutral	The Housing Service will be better able to continue to engage with neighbourhoods and communities if the HRA remains sustainable and viable and able to finance the needs and desires, where practicable, of tenants.	Good
<b>Prevention:</b> Understanding the root causes of issues to prevent them from occurring.	The Housing Service has adopted a preventative agenda with regard to its statutory duties, including maintaining homes to the WHQS and making sure homes are available, where possible, for those face with or experiencing homelessness. Less resource and capacity will result in the service becoming more reactive and increases the risk of unpredicted expenditure falling on the Council to discharge statutory obligations and duties to those who are homeless and reducing the long term sustainability of its housing assets.	Neutral	Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes to help provide and maintain a rising number of high quality, affordable homes in Powys that will help prevent the social and economic problems associated with homelessness, insecure homes and poor quality accommodation.	Good
<b>Integration:</b> Taking an integrated approach so that public bodies look at all the well-being goals in deciding on their well-being objectives.	No impact expected	Choose an item.		Choose an item.

# Cyngor Sir Powys County Council

## Impact Assessment (IA)

The integrated approach to support effective decision making



Tudalen 31

Principle	How does the proposal impact on this principle?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
<b>Preventing Poverty:</b> Prevention, including helping people into work and mitigating the impact of poverty.	The lack of genuinely affordable homes, let at social rents, is directly linked to poverty. The more people have pay in rent, the less they have for other expenditure, exacerbating poverty and poor quality of life. The same applies if people are compelled to live in thermally inefficient accommodation, where high heating costs can add to the problems of low incomes, causing practical poverty.	Neutral	Providing the opportunity for the Council to support the development of more affordable, social rented homes – and maintain those it currently owns to a high standard with reducing energy needs - by making judicious increases in rents will support the economy by allowing people to have more money to spend in the wider economy. This will help reduce poverty.	Good
<b>Unpaid Carers:</b> Ensuring that unpaid carers views are sought and taken into account	No impact expected	Unknown		Unknown
<b>Safeguarding:</b> Preventing and responding to abuse and neglect of children, young people and adults with health and social care needs who can't protect themselves.	The Council's landlord service provides secure housing opportunities to help support households with children and vulnerable adults. This benefits the welfare of those concerned and helps to protect children and vulnerable adults from harm. This may not be possible with reduced resources and capacity.	Poor	Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes to increase the overall capacity of the Council to help people needing safeguarding related support.	Good
<b>Impact on Powys County Council Workforce</b>	Reduced capacity and resource in the Housing Service will mean increased pressures on Childrens and Adults Services particularly where lack of suitable, sustainable and secure accommodation is a contributory factor to the need for interventions by social services.	Neutral	Judicious increases in social rents, as per this proposal, will allow the Council to support the development of more affordable, social rented homes to increase the overall capacity of the Council to support the work of Childrens and Adults Services, where housing changes can contribute to an overall improvement in the quality of life for vulnerable clients.	Good
<b>Source of Outline Evidence to support judgements</b>				

Principle	How does the proposal impact on this principle?	<u>IMPACT</u> Please select from drop down box below	What will be done to better contribute to positive or mitigate any negative impacts?	<u>IMPACT AFTER MITIGATION</u> Please select from drop down box below
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Welsh Government Rent Policy (December 2019); Powys HRA Business Plan (2019); STAR Survey of Tenant Satisfaction (June 2019); WHQS Compliance Policy for Powys (2019); Homeless Review and Strategy (2018); Compliance One Hundred Interim Report (December 2019); 'Love Where You Live' Tenancy Sustainability Strategy (2018); WHO 12<sup>3</sup> quarterly returns; 'Homes in Powys' housing waiting list data; Housing Service performance data.

Tudalen 32

8. What is the impact of this proposal on our communities?

Severity of Impact on Communities	Scale of impact	Overall Impact
High	High	High
Mitigation		
<p>If the Council's Housing Service is unable to increase its rents and charges set as part of this proposal it may not be able to:</p> <ul style="list-style-type: none"> <li>☞ Operate a viable and sustainable HRA. This will mean it may fail to maintain WHQS, reducing funding from the Welsh Government and in extremis leading to direct intervention by the Government in the management of the landlord service.</li> <li>☞ Maintain the current housing stock to a habitable standard, increasing health and well-being problems for residents.</li> <li>☞ Continue the development programme for new homes, reducing the choice and options open to people looking for a safe, secure and affordable place to live in Powys.</li> <li>☞ Provide tangible support to other Council services to help provide a balanced and coherent range of services to the people of Powys, with particular risks to the well-being of those who are vulnerable.</li> </ul>		

9. How likely are you to successfully implement the proposed change?

Impact on Service / Council	Risk to delivery of the proposal	Inherent Risk
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<sup>3</sup> WHO 12: mandatory quarterly return to the Welsh Government, reporting the incidence of homelessness in Powys and the work undertaken by the Council to both prevent and deal with homelessness.

# Cyngor Sir Powys County Council

## Impact Assessment (IA)

The integrated approach to support effective decision making



High	Low	Medium
<b>Mitigation</b> The increases in rents proposed are within the parameters set by the Welsh Government's Rent Policy and are therefore likely to be accepted by the Welsh Government and residents in Powys. However, the Council will in future need to provide evidence to the Welsh Government of efficient and cost effective management of housing services to be able to increase rents at the maximum rate allowed by the Government. It is as yet unclear how the Welsh Government will assess this evidence and what action it may take should it consider the Council's proposals to be inadequate or do not meet its criteria for allowing full rent increases.		

Tudalen 33

Risk Identified	Inherent Risk Rating	Mitigation	Residual Risk Rating
Rent and charges increases proposed are not approved	Medium	Services and investment plans will be reviewed to identify those which can be reduced with the least risk to the integrity of the condition of the Council's housing assets, the development of new homes and the core management activities of letting homes promptly and collecting income due to the Council. Such programmes will be scaled back to bring overall expenditure in line with income.	Medium
The blend of HRA and HGF for posts which carry out duties for both funds need to have robust business cases. HRA funding is ring fenced and Welsh Government are in the process of issuing revised guidance.	High	The development of robust business cases regarding the allocation of HRA funding in accordance with the revised guidance.	Medium
<b>Overall judgement (to be included in project risk register)</b>			
Very High Risk	High Risk	Medium Risk	Low Risk
		Medium Risk	

### 10. Overall Summary and Judgement of this Impact Assessment?

<b>Outline Assessment (to be inserted in cabinet report)</b>	<b>Cabinet Report Reference:</b>
The impact on the Council of not being able to increase rents by the amount set out in this proposals, and the associated Cabinet Report, will be considerable, not only in 2020-2021 but in subsequent years as the baseline from which future rent increases will be calculated will be lower.	

### 11. Is there additional evidence to support the Impact Assessment (IA)?

<b>What additional evidence and data has informed the development of your proposal?</b>
---

**Cyngor Sir Powys County Council**  
**Impact Assessment (IA)**

*The integrated approach to support effective decision making*



N/A

12. On-going monitoring arrangements?

**What arrangements will be put in place to monitor the impact over time?**

All HRA budgets are reviewed on a monthly basis.

**Please state when this Impact Assessment will be reviewed.**

December 2020 (to help inform and shape rent and service charge proposals for 2021-2022 Rent Year and the 2021-2022 HRA Business Plan update)

13. Sign Off

Position	Name	Signature	Date
Impact Assessment Lead:	Andy Thompson		
Head of Service:	Nina Davies		
Director:	Nigel Brinn		
Portfolio Holder:	CLlr James Evans		

14. Governance

Decision to be made by	Date required
Cabinet	February 11 <sup>th</sup> , 2020

**FORM ENDS**



# Financial Overview and Forecast as at 31st December 2019

**CYNGORSIR POWYS COUNTY COUNCIL**

**County Councillor Aled Davies**

**Portfolio Holder for Finance**

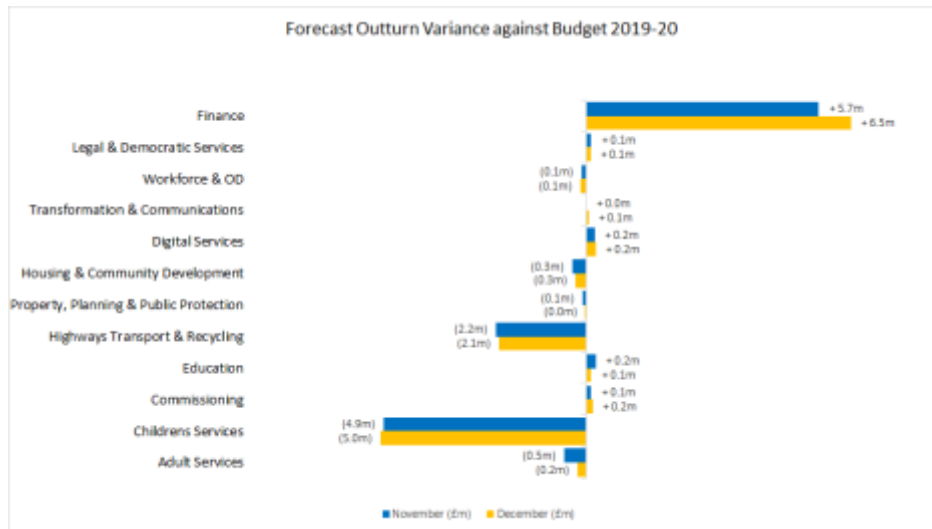
## Purpose

**This report presents the forecast outturn on the 2019-20 revenue budget as at 31st December 2019. The forecast shows an improved position with the projected overspend now reported at £0.57 million by year end (down from £1.77 million reported in November). The improved position reflects the delivery of additional savings with £14.58 million achieved by December 31st.**

Further delivery of savings is expected in the last quarter of the year which will further improve the Outturn position, a prudent forecast of £0.62 million surplus is anticipated.

The position remains dependent on whether Adult Social Care are able to continue to manage service pressures, this is particularly relevant at this time of year with increasing pressure from the Health service to get patients out of hospital and supported back in their own home.

## Revenue Position



The chart above shows the variance against budget for each service, and how this position has changed since that reported in November. The variance continues to reflect the significant underspend against Finance due to the reduced cost of borrowing to support the capital programme, which is offsetting the overspend in Children's Services.

The revenue budget that supports the borrowing requirements of the Council's capital programme is under constant review and due to changes and slippage in the capital programme the need to borrow and make provision for future debt has reduced, this budget is therefore reported with a significant level of underspend which is offsetting overspends in other services and non delivery of savings on a non recurrent basis.

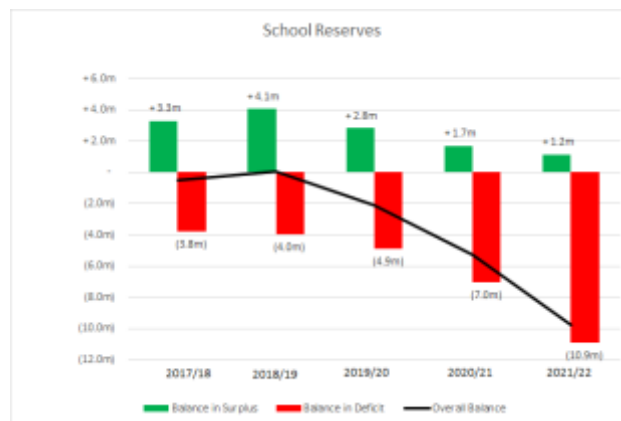
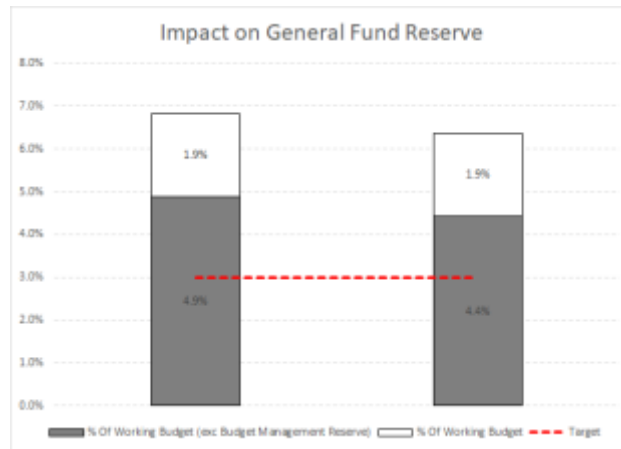
## Reserves

The revenue reserves held at the beginning of the year totalled £27.90 million, with £9.10 million held in the General Reserve and Specific and Ring-fenced Reserves of £18.80 million. The planned use of reserves during the year (excluding Schools and HRA) is £1.20 million.

Cost reductions are not reflected in the outturn position until they are achieved. Based on this current position and if no further cost reductions were delivered the forecast overspend of £0.57 million would need to be financed from the General Fund Reserve, alongside other small planned



contributions from reserve, reducing it to £8.20 million (4.4% of the total net revenue budget (excluding Schools and HRA)). This revised position remains in line with the policy set.

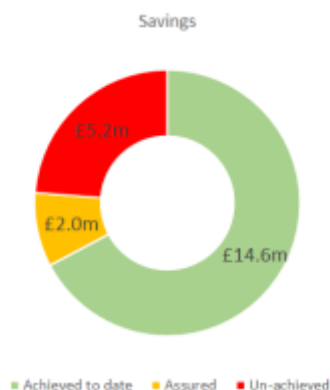


1 - This chart shows the overall School Reserve balances and the total value of Schools which are in Surplus (Green) and Deficit (Red) and the forecast for this financial year and the following two financial years based on the latest budget plans submitted by the schools but excludes the 2020-21 Draft Budget proposals.

School Budgets and the level of deficits continue to be a significant risk that must be addressed. The opening position on the Schools' Delegated Reserves was a balance of £78,000. Budgets for 2019-20 projected a further draw on reserves of £2.65 million. During the year schools have revised their budget plans reducing the projected balance at the end of the financial year to £2.37 million.

The draft budget 2020-21 approved by Cabinet on 21st January includes funding to meet the pressures faced by schools, including pay and price pressures which will assist in stabilising school budgets. This will not remove the need for Governing bodies to take action to reduce deficits and further compliance work is crucial to ensure that these are managed effectively. Follow up work will continue with those schools under Notices of Concern and Warning Notice and further intervention will be taken if necessary.

## Efficiency Savings



In February 2019 the Council approved cost reduction proposals of £12.99 million. In addition Council was advised that Social Services (Children's and Adults Services) would offset or absorb £8.70 million of service pressures within the 2019-20 budget allocations. Together these total £21.69 million. As at 31st December, £14.58 million of this figure had been delivered, 67% of the total, comprising £5.33 million of pressures managed by Social Care and £9.266 million of cost reductions from other services. This position is reflected in the Revenue Outturn Forecast reported.

Assurance has been provided that further cost reductions / pressures of £2.00 million can be delivered or managed this year although as there are only three months of the financial year remaining the full year effect may not materialise. These have been allocated an Amber RAG status. The remaining £5.16 million is considered to be unachievable in the current financial year and is therefore recorded as Red. These comprise of £3.04 million of cost reductions and £2.12 million of pressures within Social Care.

Some mitigating action has been taken by services, and alternative means of covering the shortfall in the current financial year has been put in place, whilst this resolves the gap for the current financial year it does not remove the requirement to permanently resolve the base budget. There is a £2.00 million uncommitted budget held centrally which is being used to offset the pressure that has materialised within Social Care.

Services have confirmed that £1.00 million of the cost reductions will be delivered in 2020-21.

The remaining undeliverable cost reductions or pressures have to be resolved and the draft budget for 2020-21 addresses this shortfall.

## Revenue Forecast

Service Area	Working Budget	Forecast Spend	Variance (Over) / Under Spend	Variance (Over) / Under Spend %	Variance BRAG Status
Adult Services	64,562	64,775	(213)	(0.3)	G
Childrens Services	20,625	25,634	(5,009)	(24.3)	R
Commissioning	3,438	3,270	168	4.9	P
Education	21,988	21,860	128	0.6	G
Highways Transport & Recycling	29,075	31,192	(2,117)	(7.3)	R
Properties, Planning & Public Protection	5,784	5,798	(14)	(0.2)	G
Housing & Community Development	8,939	9,201	(262)	(2.9)	R
Digital Services	4,963	4,718	245	4.9	P
Transformation & Communications	1,766	1,706	60	3.4	P
Workforce & OD	1,366	1,501	(135)	(9.9)	R
Legal & Democratic Services	3,159	3,045	114	3.6	P
Finance	19,759	13,294	6,465	32.7	P
<b>Total</b>	<b>385,424</b>	<b>385,994</b>	<b>(570)</b>	<b>(0.1)</b>	
Housing Revenue Account (HRA)	0	(120)	120		G
Schools Delegated	89,761	89,564	197	0.2	R

2 - The status criteria is as follows

- **Overspend greater than 2% - Red**
- **Over/Underspend between 1 & 2% - Amber**
- **Over/Underspend less than 1% - Green**
- **Underspend greater than 2% - Purple**
- **Schools Delegated status is shown as Red. Expenditure is reported broadly in line with budgets demonstrated by a small variance, however some schools are in an unlicensed budget position with deficit reserve balances and this position is highlighted through the revised Red status.**

This stack contains the forecast details for each Service together with the comments from the Head of Service. To view all of the text of each card click the expand icon.

### Adult Services

- **Net Budget - £64.56m**
- **Forecast - £64.78m**
- **Variance - (£0.22m) - (0.3%) - Green**

Having faced significant pressures at the start of the year it is pleasing that the mitigation actions put in place have been effective and that the current position of £0.20 million overspend continues to reduce. We are confident that by the end of the financial year we will be within budget.

### Children's Services

- **Net Budget - £20.63m**
- **Forecast - £25.63m**
- **Variance - (£5.001m) - (24.3%) - Red**

At the start of the financial year the service had pressures to manage of £6.25 million and they agreed to deliver savings of £3.65 million. £6.48 million of pressures have materialised in-year, with an increase in the forecast overspend of £81,000 since November 2019. £2.20 million of savings are now deemed

unachievable. The pressures are mainly linked to spend exceeding the budget by £5.43 million for Children Looked After (CLA), Resources by £0.55 million and mitigated by the difference between staff slippage and Agency costs of £0.97 million.

There has been a 'net increase' to date of 1 CLA placement in 2019-20 but the budget pressure has increased by £1.60 million from the beginning of the year due to throughput, changes in complexity of need and provider uplifts. For example 16 of the CLA placements that have left the care system were nil cost to the authority because placed with own parents or person with parental responsibility, placed for Adoption or Independent Living.

The number of Agency staff has decreased by 3 in December due to the service recruiting permanent employees, which is more cost effective.

### **Commissioning**

- **Net Budget - £3.44m**
- **Forecast - £3.27m**
- **Variance - £0.17m - 4.9% - Purple**

The variance is as a result of staffing vacancies which have been held to deliver a budget reduction in 2020-21.

### **Education**

- **Net Budget - £21.99m**
- **Forecast - £21.86m**
- **Variance - £0.13m - 0.6% - Green**

### **Schools Delegated**

- **Net Budget - £69.76m**
- **Forecast - £69.56m**
- **Variance - £0.20m - 0.3% - Red**

Schools delegated variance demonstrates an in-year underspend. However, the RAG status demonstrates the overall cumulative projected deficits across the sectors. The service and finance officers continue to work with all secondary schools and the position is updated monthly once the schools have supplied their revised forecast positions.

### **Highways, Transport & Recycling**

- **Net Budget - £29.08m**
- **Forecast - £31.19m**
- **Variance - (£2.12m) - (7.3%) - Red**

£1.50 million of the forecast overspend relates to cost reductions that have not yet been delivered in 2019-20, however £0.31 million are due to have been delivered by 31 March 2020. There has been steady improvement in Waste & Recycling Operations to reduce the budget overspend suffered last year. Transport remains the area of highest overspend, additional funding is being sought from Welsh Government, along with the planned Transport Review. Latest weather forecast predicts a continuation of the relatively mild winter, which could also influence the forecast budget position in the final quarter.

#### **Property, Planning & Public Protection**

- **Net Budget - £5.78m**
- **Forecast - £5.79m**
- **Variance - (£0.01m) - (0.2%) - Green**

Unachieved savings and income targets relating to property related projects remain a concern for the service area. Measures such as not filling vacant posts and undertaking work for other authorities have helped to mitigate the impact.

#### **Housing & Community Development**

- **Net Budget - £8.94m**
- **Forecast - £9.20m**
- **Variance - (£0.26m) - (2.9%) - Red**

#### **Housing Revenue Account**

- **Net Budget - £0m**
- **Forecast - (0.12m)**
- **Variance - £0.12m - Green**

The Catering Service is forecasting an overspend and will not achieve its savings target for this financial year. There was a reduction in the uptake of school meals following the price increase in April 2019. The Service has worked hard to mitigate these impacts and reduce the overspend as far as possible, by monitoring staffing hours and promoting school meals. As a result there has been some increase in uptake since the summer, compared to last year. It should be noted that there is an outstanding -£0.09 million in school meal debt, this has been raised with Finance and the Portfolio Holder and actions are in progress to deal with this issue.

#### **Digital Services**

- **Net Budget - £4.96m**
- **Forecast - £4.72m**
- **Variance - £0.25m - 4.9% - Purple**

A large number of projects with late confirmation of funding has resulted in current staff being quickly seconded to projects with their own funding streams. This has resulted in an underspend on unfilled posts. Contract costs have also reduced further than anticipated in year.

#### **Transformation & Communications**

- **Net Budget - £1.76m**
- **Forecast - £1.70m**
- **Variance - £0.06m - 3.4% - Purple**

The forecast underspend is due the service holding a vacancy to deliver a proposed cost reduction in 2020-21. The forecast underspend at year end could be slightly highly subject to possible increased income.

#### **Workforce and Organisational Development**

- **Net Budget - £1.36m**
- **Forecast - £1.50m**
- **Variance - (£0.14m) - (9.9%) - Red**

The forecast overspend is due to undelivered cost reduction proposals that were placed on the Service late in the last financial year offset by the delivery of one-off savings in year.

#### **Legal & Democratic Services**

- **Net Budget - £3.15m**
- **Forecast - £3.04m**
- **Variance - £0.11m - 3.6% - Purple**

The underspend is due to income received to reimburse the costs for the 2017 general election, the costs were funded from the general fund reserve when they were incurred.

#### **Finance**

- **Net Budget - £19.75m**
- **Forecast - £13.29m**
- **Variance - £6.46m - 32.7% - Purple**

Financial Services has maintained its projected position to achieve a balanced budget for the year despite £0.12 million savings not yet achieved, which relate to the "Right First Time" project. The recharge of costs across other services as originally proposed is being challenged as a policy decision and this is currently being reviewed, this gap is being offset currently by other areas of the budget, but these will not be available in next year's budget.

There is a £3.50 million forecast underspend on the capital charges' budget due to slippage in the Capital Programme. Last years position, the receipt of additional grant and slippage in this years

projects have all reduced the need to borrow and lessened the increase in the Minimum Revenue Provision. The position will be continually reviewed and updated as we move towards year end. The forecast outturn also takes into account the £2.00 million set aside to manage the risk inherent in the budget, together with the surplus projected on Council Tax collection.

## Transformation

Transformation Costs 19-20	Forecast Outturn	Budget	Variance
	£,000	£,000	£,000
Transformation Projects to be capitalised	1,886	2,000	114
Organisational Transformation	1,100	990	-110
School Redundancies plus Pension Strain	470	650	180
	<b>3,456</b>	<b>3,640</b>	<b>184</b>

Transformation of council services is critical to reducing the cost of delivering essential services to our residents. Maximising the use of the Welsh Government Directive to support the cost of this transformation is a key element of our financial strategy. The table above shows the level of support built into the budget for the current financial year and the position to date. The funding for this can be provided through the ability to utilise capital receipts through a capitalisation direction, or supported by revenue underspends. The level of Capital receipts is expected to increase during the year, the level held will be in excess of that needed to cover the costs incurred in the current financial year.

## Resource Implications

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

This month reports a continued improvement in the Outturn projected, this is supported by an increase in the level of savings delivered and confirmation that the cost of borrowing remains significantly lower than the budget.

Assurance continues that further savings can be achieved during the last quarter, and this ensures the delivery of a balanced budget and reduces the need to draw on the revenue reserves. A change in the level of assurance by Heads of Service would be of concern, any further changes will increase the risk of delivering a balanced budget. The £2.00m set aside to mitigate the risk inherent in the budget, particularly the continued pressure on the Children Services budget, is contributing to the delivery of a balanced budget. This has not been allocated to any specific service.

The potential pressures identified in Adult Social Care are significant and although to date only 45% of these have materialised this still represents a risk to our projected forecast, particularly as the pressure of the winter period is now clearly upon us.

Any further slippage in the Capital Programme or the receipt of additional grant funding will also impact on the revenue budget.

School budgets continue to be a significant risk that needs to be addressed, compliance work and action is crucial to ensure that this is managed effectively. Discussions continue with the schools issued with

formal Warning Notices. Further action will be taken where recovery plans are not being developed and implemented.

## Legal Implications

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

## Comment from Local Member(s)

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

## Integrated Impact Assessment

**No impact assessment required**

## Recommendation

**That Cabinet note the budget position.**

## Contact Officer

**Jane Thomas**

**01597 8227789**

[jane.thomas@powys.gov.uk](mailto:jane.thomas@powys.gov.uk)<sup>1</sup>

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<sup>1</sup><mailto:jane.thomas@powys.gov.uk>





# Capital Forecast as at 31st December 2019

**CYNGORSIR POWYS COUNTY COUNCIL**

**County Councillor Aled Davies**

**Portfolio Holder for Finance**

## Purpose

This report provides an update on the Capital budget based on the position reported as at 31st December 2019.

The revised working budget for the 2019/20 Capital Programme, after accounting for approved virements, is £76.80 million (The original budget was £92.34 million). The decrease is due to roll forwards to future years, in particular 2020/21.

Actual and committed expenditure amounts to £55.22 million representing 71.9% of the total budget. The actual spend to date is £39.29 million, 51% of the budget, with £15.93 million the committed figure. There is potential for further slippage on schemes, particularly during the winter months, and this could result in further reprofiling into future years. The continued reduction in the capital programme forecast has a consequence on the cost of borrowing, further reducing the requirement on the £14.84 million revenue cost of borrowing budget which this year is projecting a significant underspend.

Currently it is estimated that 3.4% of our net revenue budget of £255.00 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.

Table 1 below summarises the financial position for each portfolio and service. Table 2 sets out how the in year capital programme is funded, 54% is funded through borrowing, the interest cost for this is charged to the revenue account.

Table 1: Capital Table as at 31st December 2019

Service	Original Budget	Virements Approved	Virements Required by Cabinet	Virements Required by Council	Revised Working Budget 2018/19 as at 31st December 2019 (after virements approved and required)	Actuals & Commitments	Remaining Budget	
	£,000	£,000	£,000	£,000	£,000	£,000	£,000	%
<b>Childrens &amp; Adults</b>								
Adult Services	260	1,140	0	0	1,430	626	602	42.1%
Childrens Services	0	919	0	0	919	35	853	96.1%
Education	44,818	-27,825	0	0	16,993	13,301	3,692	21.7%
<b>Economy &amp; Environment</b>								
Highways Transport & Recycling	15,151	3,489	0	1,100	19,740	14,889	4,851	24.6%
Property, Planning & Public Protection	2,046	4,561	0	0	6,607	3,927	2,680	40.6%
Housing & Community Development	8,753	-3,771	-123	0	4,859	3,442	1,417	29.2%
<b>Organisational Transformation</b>								
Digital & Communication Services	973	258	0	0	1,231	443	788	64.0%
Legal & Democratic Services	0	22	0	0	22	22	0	0.0%
Finance	3,650	477	0	0	4,127	2,388	1,739	42.1%
<b>Total Capital</b>	<b>76,681</b>	<b>-20,730</b>	<b>-123</b>	<b>1,100</b>	<b>56,928</b>	<b>39,276</b>	<b>16,652</b>	<b>29.8%</b>
Housing Revenue Account	16,682	4,214	0	0	20,896	15,946	4,928	23.6%
<b>TOTAL</b>	<b>92,343</b>	<b>-16,516</b>	<b>-123</b>	<b>1,100</b>	<b>76,804</b>	<b>55,224</b>	<b>21,580</b>	<b>28.1%</b>

Table 2: Funding of the Capital Budget as at 31st December, 2019

Funding						
Service	Supported Borrowing	Prudential Borrowing	Grants	Revenue Cont's To Capital	Capital Receipts	Total
	£,000	£,000	£,000	£,000	£,000	£,000
<b>Revised Working Budget 2018/19 as at 31st December 2019 (after virements approved and required)</b>						
Capital	8,897	19,536	19,422	3,639	4,395	<b>55,989</b>
HRA	0	12,633	4,311	3,871	0	<b>20,815</b>
<b>Total</b>	<b>8,897</b>	<b>32,169</b>	<b>23,733</b>	<b>7,510</b>	<b>4,395</b>	<b>76,804</b>

## Service Updates

### Head of Service Comments

#### Adult Services

Working Budget £1.43 million

Spend to Date £0.83 million

Budget Remaining £0.60 million 42.1%

Castell y Dail Day & Employment base actuals and commitments total £0.32 million, but there is a risk regarding utilisation of the capital grant allocation if the lease is not secured from Neath Port Talbot College (NPTC). The cross cutting resources and overview group will be reviewing the situation and ensuring it can mitigate the risk.

Arlais/Lant Avenue Older Day Centre relocation actual expenditure totals £0.01 million, HoWPs to date been unable to deliver on schedule, and a commitment is being sought on start date.

Grant monies have been allocated for the Rhyd, Brecon Day & Employment. Actuals and commitments total £0.065 million.

Community Equipment actuals and commitments total of £0.09 million against an grant allocation of £0.12 million.

£0.11 million allocation for Mobile Working budget is being reviewed and may be reprofiled to next year.

Substance Misuse Capital Welsh Government (WG) grant funding allocation of £0.35 million to purchase Old Bank, Welshpool has resulted in £0.31 million actual expenditure plus commitments to date. This project has been delayed because of issues with planning and listed building consent. The work should have been completed by July 2019 as WG have approved the use of the grant in 2019/20, and cannot be rolled forward to next year.

#### Children Services

Working Budget £0.91 million

Spend to Date £0.03 million

Budget Remaining £0.88 million 96.1%

Awaiting decision from Welsh Government to roll capital monies forward to 2020/21 expected response by Mid Jan 2020 as the projects summarised below will not need funding until next financial year.

Welshpool Flying Start Capital – New construction company appointed to complete the build of Welshpool Church in Wales School. Meetings have been planned to begin the transition from current office to our new Integrated Family Centre on Oldford estate from January 2020 onwards.

Brecon – Options paper has been shared and is due at Cabinet on the 31st January. We plan to site new building at Cradoc Road Youth centre housing Flying Start, County Council and office/training/contact space.

Start Well Board to consider and agree ongoing revenue costs for both projects before any construction works take place.

### **Education**

Working Budget £16.99 million

Spend to Date £13.30 million

Budget Remaining £3.69 million 21.7%

The major improvement programme has 77 schemes in 2019/20, including schemes carried forward from 2018/19 and additional schemes approved by cabinet on the 30th July 2019. There are no schemes to commission, 3 schemes are on hold, 10 schemes at the design stage, 5 are out to tender, 16 under construction and 43 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.

### **Highways, Transport and Recycling**

Working Budget £19.74 million

Spend to Date £14.89 million

Budget Remaining £4.85 million 24.6%

Programme is scheduled for completion as planned by year end, there is a variation and reprofiling request set out in the relevant sections.

### **Property, Planning and Public Protection**

Working Budget £6.60 million

Spend to Date £3.92 million

Budget Remaining £2.68 million 40.6%

No issues to report. There will be slippage into the next financial year, just finalising the reprofiling plan for February report.

### **Housing and Community Development**

Working Budget £4.85 million

Spend to Date £3.44 million

Budget Remaining £1.41 million 29.2%

### **Digital and Communication Services**

Working Budget £1.23 million

Spend to Date £0.44 million

Budget Remaining £0.79 million 64.0%

Projects are currently planned to deliver to programme and complete to allocated funds.

### **Legal Services**

Working Budget £0.02 million

Spend to Date £0.02 million

Budget Remaining £0k

The project is due to be completed by 31st March, 2020.

### **Finance**

Working Budget £4.12 million

Spend to Date £2.38 million

Budget Remaining £1.73 million 42.1% £3.64 million of this budget relates to the transformation of council services, funding severance costs and transformational projects which are critical to reducing the on-going cost of delivering essential services to our residents. We are using the Welsh Government Directive to support the cost of this transformation programme and it is a key element of our financial strategy. This years budget will be fully utilised.

### **Housing Revenue Account**

Working Budget £20.88 million

Spend to Date £15.95 million

Budget Remaining £4.938m 23.6% The service are working with finance to finalise the likely reprofiling of budget into 2020/21, this will be reported in detail in February. In addition much of the funding will be used to purchase land from the General Fund, resulting in capital receipts for the council, these are expected to conclude in February.

## **Virements for Approval**

A number of changes are required to the current year's Capital Programme, these are requested as part of the virement process, with a summary of each set out below, and are recommended for approval.

### **Highways, Transport and Recycling £0.10 million**

£0.68 million of the £3.95 million HAMP allocation for highways assets remains unallocated and £0.10 is requested for use for highways strengthening, the balance will be rolled forward into 20/21 and explained further in the relevant section below.

### **Highways, Transport and Recycling -£0.07 million**

It is recommended that budgets for projects to create a fleet facility (£0.02 million) and a household waste recycling facility (£0.05 million) are removed from the capital programme as these budgets are

not now needed. This funding will be placed into a pipeline budget for future projects that will be identified through the new governance framework and evaluated and approved as per the new approval process before proceeding further.

#### **Housing and Community Development £0.29 million**

The Machynlleth Gypsy and Traveller site has a revised estimated cost of £1.29 million, mainly due to a revised building construction approach and the project costs, prepared two years ago have been updated for inflation etc. The approved budget is £0.99 million. This virement seeks to approve an additional £0.29 million for the project, which would be funded from the Home Finder capital receipts.

Once the land for the project has been secured, it will be possible to apply to Welsh Government for a grant. It is hoped that this funding will cover the increase in the estimated costs.

The spend profile for the project needs to be amended as follows £0.08 million in 2019/20, £1.15 million in 2020/21 and £0.06 million in 2021/22 making a total of £1.29 million.

#### **Housing and Community Development £0.20 million**

The Disabled Facility Grants project has been reviewed and an underspend of £0.20 million has been identified for 2019/20. This is similar to the underspend for the previous year, and is due to the ability to access external funding to support the programme, releasing council funding. It is recommended that the budget is removed from the project and returned to the unallocated budget held under Corporate Services.

### **Reprofiling Budgets across Financial Years**

The following services have requested the reprofiling of their capital programme budgets into 2020/21, as the expected spend on projects will be significantly less than planned this year. We encourage services to reprofile budgets as soon as they become aware of forecast changes.

#### **Highways, Transport and Recycling £0.58 million**

The service received a £3.95 million HAMP allocation for highways assets in 2019/20. The allocation will not be utilised in full this year as Welsh Government have funded £1.58 million of works through the Public Highways Refurbishment Grant. The unallocated budget of £0.58 million will be rolled forward into the HAMP budget next financial year.

#### **Education £5.78 million**

Ysgol Calon Cymru is a project which is split between Band A and B Welsh Government criteria. The project has been delayed due to the estimated costs received being significantly higher than anticipated and outside our funding envelope for this project. Further work is required to be undertaken to understand the basis of these costs and it will be necessary to submit the documents as part of our governance process i.e. a Strategic Outline Case, Outline Business Case and Full Business Case (FBC) for the project instead of the FBC as previously agreed with Welsh Government. The 2019/20 budget has been reprofiled over the next two financial years to reflect the likely spend profile for the project. In

addition, we are awaiting the recommendations of the strategic review of schools in Powys which will be considered by Cabinet in January 2020.

#### **Housing and Community Development £0.06 million**

The Library Service currently has a project to install self service terminals in all locations. Currently libraries in Llanidloes, Newtown, Machynlleth and y Gaer in Brecon have fully operational terminals installed. It is anticipated that terminals will be installed in slightly over half of libraries at year end. The remainder will be completed in 2020/21 and the necessary budget of £0.06 million will be reprofiled to reflect the works planned during that period.

#### **Housing and Community Development £0.400 million**

TRIP is a Welsh Government funding programme. Welsh Government invited applications for regionally-endorsed local authority project proposals for a three-year period which began in April 2018. The programme also directly contributes to the delivery of the Economy Programme under the Council's Vision 2025 and the Powys Well Being Plan. The programme has now been extended into years 4 and 5 with an indicative budget for the region of £3 million per annum.

The aim of this programme is to facilitate the development of, and support for, regionally significant regeneration investment proposals in defined Regeneration Areas. In Powys, these are Newtown, Brecon and Llandrindod Wells.

Due to the Welsh Government timescales and delays in the approval of projects by their National panel the programme timeline has slipped back. The spend profile has been reviewed and expenditure will now be incurred within the 2020/21 financial year.

### Grants Received

There are no grants that have been received since the last report.

### Capital Receipts

Capital receipts received during December are £0.26 million. The total receipts for the year is now £1.39 million. This comprises £0.01 million vehicle receipts, £1.13 million property receipts, £0.09 million Housing Revenue Account and £0.16 million county farms. The year end forecast is £5.93 million.

The year end forecast includes land transfers to Housing from the General Fund totalling £3.75 million which is likely to be concluded before year end. There are further sales currently under negotiation and if the completion date is beyond March 2020, the necessary forecast changes will be made.

### Resource Implications

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



**Expenditure on the Capital Programme has slipped considerably in previous financial years, 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.**

## Legal Implications

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

### **Members' Interests**

The Monitoring Officer is not aware of any specific interests that may arise in relation to this report. If Members have an interest, they should declare it at the start of the meeting and complete the relevant notification form.

## Comment from Local Member(s)

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

## Integrated Impact Assessment

**No impact Assessment required**

## Recommendation

### **Recommendation**

That the contents of this report are noted.

That Cabinet approves the virements proposed in this report

That all virements over £0.50 million are recommended to Council for approval.

### **Reason for Recommendation**

To report on the Capital Outturn position for the 2019/20 financial year.

To ensure appropriate virements, are carried out to align budgets and financing requirements.

## Contact Officer

### **Contact Officer**

Jane Thomas



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

**CYNGOR SIR POWYS COUNTY COUNCIL.****CABINET EXECUTIVE**  
**Tuesday, 11th February 2020****REPORT AUTHOR: County Councillor Graham Breeze**  
**Portfolio Holder for Corporate Governance and**  
**Engagement****REPORT TITLE: Strategic Risk Register Report Quarter 3 2019/2020**

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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, including those on the Strategic Risk Register. It also outlines risks recommended for escalation to the Strategic Risk Register and an update on risk champion training.

**2. 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 and deliver services more efficiently, using innovative and cost-effective means.

**3. 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
- Approve escalation of risks to the Strategic Risk Register
- Note the forthcoming training for Risk Champions

**Review of progress to mitigate Strategic Risks**

3.2 As at the end of quarter 3 2019-2020, there are 11 risks on the strategic risk register All risk owners have provided a short summary of progress since quarter 2, to give assurance that mitigating actions are being actioned and monitored.

3.3 Please see appendix A for full details of the 11 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 3 risk assessment process visually. It highlights that two out of the eleven risks are placed within the 'major' impact category with a probability of almost certain, and none with 'catastrophic' impact.

Approval to escalate risks to the Strategic Risk Register

3.5 During quarter 3, the following risk has been identified and it is recommended that it is escalated to the Strategic Risk Register for monitoring.

- **Compliance in Powys County Council Housing Stock.**

**Justification:** Compliance within Housing requires a programme of improvement to meet the high standards expected by the Council, identified in the Compliance One Hundred project review of compliance. It is therefore considered to be a corporate risk and has been escalated on the advice of EMT.

**Mitigating action:**

1. Establishment of a Compliance and Assurance Board chaired by the Head of Housing and Community Development.
2. Establish a special Compliance One Hundred Project Team to address the six Priority Areas (Inspection and Servicing of Domestic Heating Systems, Fire Safety, Lifting Operations and Lifting Equipment Regulations (LOLER), Asbestos Management, Legionella Management and Fixed Electrical Testing (FET)).

	<b>Inherent Risk</b>	<b>Residual Risk</b>
<b>Risk Probability:</b>	Likely	Likely
<b>Risk Impact:</b>	Major	Major
<b>Risk Profile:</b>	Severe	Severe

To note the forthcoming training for Risk Champions

3.6 Risk management training has been organised for all services' nominated risk champions and is due to take place on 14<sup>th</sup> February 2020. During the training, risk appetite will be explored to enable risk champions to aid their service in setting a risk appetite and ensuring that we fulfil the recommendation of the SWAP audit.

**4. Resource Implications**

4.1 The Head of Finance (Section 151 Officer) has approved the report. 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.

## **5. Legal implications**

5.1 Comment sought from Monitoring Officer.

## **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 action for quarter 3.**
- **Cabinet approves the following risk to be escalated to the Strategic Risk Register:**
  1. **Compliance in Powys County Council Housing Stock**

**The recommendations 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.**

Contact Officer: Emma Palmer, Head of Transformation and Communications  
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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	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
CS0009  Jan Coles  Escalated From :- Children's Services  Tudalen 59	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 EI&amp;P help 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>	22/01/2020  Review Summary: To date this year we have achieved savings however there is an increase in pressures, we continue to monitor this.  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 to meet the needs of our local population and support Children and Young People in our care to achieve the best possible outcomes.  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.  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.	Cllr Rachel Powell  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>	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 60			<p>Review Summary: To date this year we have achieved savings however there is an increase in pressures, we continue to monitor this.</p> <p>Looked after children numbers have reduced from 250 in December 2018, to 236 at end of September 2019. This demonstrates that the investment in intervention and prevention and early help services is taking effect.</p> <p>New process in place for reviewing high cost placement, being led by Senior Manager Corporate Parenting. 4th Qtr 18/19</p> <p>Restructure to place focus on early help, prevention and intervention to prevent escalation at every point is taking place and is on track.</p> <p>Agency staff reduced to 39 Agency staff applying and being appointed to permanent positions</p> <p>Two consultants due to leave in May Continued focus on returning children from out of county placements</p> <p>Admission panel established, chaired by Head of Service, to enable practice to be guided and ensure oversight of all admissions to care</p> <p>Budget training for all managers Budget included as part of performance management in the service</p>					



Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 61			4th Qtr 18/19 Restructure to place focus on early help, prevention and intervention to prevent escalation at every point is taking place and is on track. Agency staff reduced to 39 Agency staff applying and being appointed to permanent positions Two consultants due to leave in May Continued focus on returning children from out of county placements Admission panel established, chaired by Head of Service, to enable practice to be guided and ensure oversight of all admissions to care Budget training for all managers Budget included as part of performance management in the service					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
ED0022  <a href="#">Lynette Lovell</a>  <b>Escalated From</b> :- Education   <div style="writing-mode: vertical-rl; transform: rotate(180deg);"> <b>Tudalen 62</b> </div>	The council will be unable to manage the schools budget without extra resource and finance and this will affect every individual school in Powys that has a deficit budget.	If the school fails to do a budget deficit plan, warning letters will be issued to the schools and the Authority will consider whether to withdraw delegation. Should this occur, the Local Authority LA will have to resource financial advice and manage the schools budget for each school that has their delegated funding removed. This would need to be specialist advice from a service that is under-resourced so there may be financial implications.	17/01/2020  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 TLR allowance. The TLR Allowance would be for the secondary schools and would be within the funding formula.  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 TLR allowance. The TLR Allowance would be for the secondary schools and would be within the funding formula.	Cllr Phyl Davies   Lynette Lovell	9	12	<ul style="list-style-type: none"> <li>PIAP Action Plan</li> </ul>	Action In Progress

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
ED0023  Lynette Lovell  Escalated From :- Education   <b>Tudalen 63</b>	The council fails to make the necessary improvements in response to Estyn recommendations.	Failure to implement these recommendations will result in Estyn continuing to monitor the education service in Powys.	17/01/2020  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 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.  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.  The PIAP reports to the Transformation Board within the Council and there is a monthly leader's meeting to monitor progress.  Review Summary: The post inspection action plan has been drafted and was presented to Estyn on 28/29th November 2019.	Cllr Phyl Davies    Lynette Lovell	12	12	• Implementation of the PIAP	Action In Progress

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
FIN0001  Jane Thomas  <b>Escalated From :-</b> Financial Services  <b>Tudalen 64</b>	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	<ul style="list-style-type: none"> <li>- The Council incurs significant overspend</li> <li>- Projected budget will suffer an overspend</li> <li>- Penalties and fines may be imposed</li> <li>- Council reputation damaged</li> </ul>	07/01/2020  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.  Review Summary: 2nd Qtr 19/20, Integrated Business Planning in place, Service proposals submitted, Cabinet continue to develop a draft budget plan. Engagement with the wider Council membership, and consultation with the public commencing and development of the budget simulator. 1st Qtr 19/20 Scenario planning in place and projected budget gap calculated, development of budget commenced with Cabinet. Development of Integrated Business Planning and new approach to budgeting, focusing on outcomes. Budget planning over a 3 years rather than 1 financial year	Cllr Aled Davies  Jane Thomas	16	9	<ul style="list-style-type: none"> <li>• Medium Term Financial Strategy</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>	Withdrawn  Withdrawn  Withdrawn  Withdrawn  Withdrawn  Withdrawn

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
ICT0010 <a href="#">Helen Dolman</a>  <b>Escalated From :-</b> Digital Services  <b>Tudalen 65</b>	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>	10/01/2020  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.  The IMAG planning overseen by CIGG, and the work of the CIOG support the Council's plans to reduce the potential to fail to meet the above obligations.  Review Summary: Work continues on the IMAG plan with CIGG, which has been cancelled in September and October. Monthly discussions with SIRO ensure issues raised to EMT level.  Review Summary: Controls and actions taken in an attempt to prevent a breach of data protection legislation and the resulting financial, and reputational risk are wide ranging due to the volume and purposes of processing personal data by the organisation. CIGG agreed the IMAG plan for 2019-2021 in March 2019, as such DPO to develop plans to monitor compliance with data protection legislation using the Information Asset Registers as a baseline.  4th qtr 18/19 Review of some policies, training and awareness raised. Changes to mandatory training agreed  Review Summary: restructure change of owner	Cllr Graham Breeze  Diane Reynolds	12	12	<ul style="list-style-type: none"> <li>• Staff training</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>• 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>• Communication Plan</li> <li>• - Policies and Procedures</li> <li>• - Review existing Data Processing agreements</li> <li>• - Information sharing protocols</li> <li>• - Data sharing agreements</li> <li>• - Identify where information sharing takes place</li> <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>	Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action Completed  Action Completed  Action Completed  Control In Place  Control In Place  Control In Place  Withdrawn  Withdrawn  Withdrawn  Withdrawn  Withdrawn  Withdrawn

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
ICT0029  Julie Davies  <b>Escalated From :-</b> Digital Services  <b>Tudalen 66</b>	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. Loss of data, inability to access data or public disclosure of Personal Data. 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>	30/12/2019  Review Summary: Continued improvements to Patching and compliance monitoring procedures.  Continuing to work on actions identified in the Cyber Security Improvement plan.  Continuing to develop Advanced Threat detection and Security improvements using O365 tools  Review Summary: 3rd Qtr 19/20  1st 19/20 Quarterly review, Mitigating action and improvement plan still in place. Major Incident response process in development  4th Qtr 18/19  1. Cyber Security plan continues to be actioned, developed and maintained.  2. Cyber Essential Accreditation achieved, Cyber Essentials + accreditation is in progress.  3. Disaster Recovery Policy is in place which sets out our aspirations towards having a fully documented and operational Disaster recovery procedure. We realise there is a lot more work to be undertaken in developing the plans and procedures required to support the policy and to having a fully documented DR manual. We require a lot more input from Service areas to be able to plan and agree recovery time objectives and priorities to complete these plans.	Cllr Graham Breeze  Diane Reynolds	12	9	<ul style="list-style-type: none"> <li>• Major Incident response processes</li> <li>• Disaster Recovery Procedures</li> <li>• Cyber Security Improvement Plan</li> <li>• Cyber Security Certification</li> </ul>	Action In Progress  Action In Progress  Control In Place  Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
PCC0002 Greg Thomas	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>16/01/2020</p> <p>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. Review Summary: The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government. A Strategic Brexit Risk Register is held, and reviewed on a monthly basis. Further explanation is provided in the risk report.</p>	<p>Cllr Rosemaire Harris  Nigel Brinn</p>	12	9	<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> </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> </ul>

Tudalen 67

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 68			<p>Review Summary: Risk has been reviewed and risk rating increased due to the current uncertainties regarding Britain's exit from the European Union, and a potential 'No-Deal' Scenario on October 31st 2019. The Strategic Brexit Coordination Group (BCG) has conducted impact assessments, and where appropriate controls and monitoring are in place. PCC is prepared as far as practicable for any Brexit scenario, and we wait further guidance for UK and Welsh Government.</p> <p>Review Summary: Risk has been reviewed in light of the latest announcements from the EU, and the establishment of the internal Strategic Brexit Co-Ordination Group.</p> <p>4th Qtr 18/19</p> <ul style="list-style-type: none"> <li>- The Strategic Brexit Co-Ordination Group has been established, which has identified 82 service level, and 11 strategic potential impacts as a result of Brexit. Where appropriate, mitigation has been put in place for these impacts.</li> <li>- Latest negotiations between the UK Government and the EU have suggested that a no deal Brexit is increasingly unlikely, therefore the risk level has been reduced.</li> </ul> <p>Review Summary: Ownership of Risk moved</p>					





Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
PCC0004  Ness Young	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.	23/01/2020  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.  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.  The Council has launched an apprenticeship talent pool and a joint apprenticeship programme with Powys Teaching Health Board.  An action plan has also been develop to improve the recruitment and retention of Qualified Social Workers in Children's Services.	Cllr Graham Breeze  Ness Young	25	20	<ul style="list-style-type: none"> <li>• increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches</li> <li>• Developing digital solutions and services</li> <li>• Promoting Powys as a place to live, visit and do business</li> <li>• Improving skills and supporting people to get good quality jobs</li> <li>• Developing a health and care workforce for the future</li> <li>• Improving the skills and employability of young people and adults</li> <li>• Support communities to be able to do more for themselves and reduce demand on public services</li> <li>• Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/</li> <li>• Formal partnership with the Open University and secondment of students</li> <li>• Build better connections with schools within Powys and universities within Wales and just across the border in order to attrac</li> <li>• Improving education attainment of all pupils</li> <li>• Developing a workforce strategy which ensures Council is an excellent employer</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>• 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> <li>Action In Progress</li> </ul>

Tudalen 70

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 71			<p>2nd Qtr 19/20</p> <p>Review Summary: Draft health and social care strategic framework has been developed</p> <p>Overall risk progress: Draft health and social care strategic framework has been developed</p> <p>2nd Quarter progress of supporting mitigating actions are as follows:</p> <p>Developing digital solutions and services</p> <p>-A Digital First Executive Group has been established under the Health and Care Strategy and a Strategic Framework is in development</p> <p>Improving education attainment of all pupils</p> <p>-In secondary schools, new qualifications have been introduced during the past three years. Welsh Government have also introduced interim key stage 4 performance measurement arrangements with a change from Level 2 qualifications (A*- C) to Capped 9 Average Point Score.</p> <p>Key stage 4 and 5 data within the report remains provisional as we await the verified data available in December 2019.</p> <ul style="list-style-type: none"> <li>In Powys, there was an improvement of 6.1 points in the average Capped 9 points score for individual pupils.</li> <li>The average Capped 9 point score has increased in 7 out of 11 Powys secondary schools.</li> <li>Across ERW, the average Capped 9 point score increased by 10.9 points. Powys is ranked 3rd across the ERW local authorities.</li> </ul> <p>Developing a workforce strategy which ensures Council is an excellent employer</p> <p>-Draft Council workforce strategy has been produced</p>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 72			<p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications</p> <ul style="list-style-type: none"> <li>-Rural academy proposal is being developed by the Workforce Futures Board as part of the Workforce Futures Strategic Framework</li> </ul> <p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk</p> <ul style="list-style-type: none"> <li>-Proposal being developed</li> </ul> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles</p> <ul style="list-style-type: none"> <li>-Joint apprenticeship scheme now in place</li> </ul> <p>Conduct research to understand the workforce profile in health and social care</p> <ul style="list-style-type: none"> <li>-Research complete and underpins draft Workforce Futures Strategic Framework</li> </ul> <p>-All other mitigating actions that support this risk have nothing to report this quarter. Review Summary: 1st Qtr 19/20 No change this quarter</p>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions																		
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status																	
Tudalen 73			<p>Review Summary: 4th Qtr 18/19 Powys as a whole faces a significant long-term workforce challenge because demographic change is leading to an increase in older people (75+) and a decline in the number of people of working age. This information is based upon the Welsh Government Population Projections (2016) - <a href="http://pstatic.powys.gov.uk/fileadmin/Docs/Statistics/Themes/Population/R_POPPROJ_19-09-10129-2016-en.pdf">http://pstatic.powys.gov.uk/fileadmin/Docs/Statistics/Themes/Population/R_POPPROJ_19-09-10129-2016-en.pdf</a></p> <table border="1"> <thead> <tr> <th>Age Group</th> <th>2014</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td>2029</td> <td>2039</td> <td></td> </tr> <tr> <td>Working Age (16-64)</td> <td>77,200</td> <td>73,500</td> </tr> <tr> <td></td> <td>65,200</td> <td>56,900</td> </tr> <tr> <td>75+</td> <td>15,100</td> <td>17,600</td> </tr> <tr> <td></td> <td>24,000</td> <td>28,200</td> </tr> </tbody> </table> <p>The figures suggest that compared to 2014 there are now approximately 4,000 fewer people of a working age in Powys. In ten years' time that figure will have increased to 12,000 (ie a 15% reduction in our working age population) at the same time as we will see an increase in over 75s of nearly 60%. This risk will impact on the whole council, albeit some services may feel the impact at different times. We therefore need to take a whole council approach to our management of this risk. Vision 2025 sets out the Council's Improvement Plan for the next five years and there are a number of commitments contained in that document that will help to mitigate this risk, including:</p> <p>Promoting Powys as a place to live, visit and do business - Head of Housing and Community Development Improving skills and supporting people to get good quality jobs- Head of Education Developing a health and care workforce for the future - Head of Workforce and Organisational Development</p>	Age Group	2014	2019	2029	2039		Working Age (16-64)	77,200	73,500		65,200	56,900	75+	15,100	17,600		24,000	28,200				
Age Group	2014	2019																							
2029	2039																								
Working Age (16-64)	77,200	73,500																							
	65,200	56,900																							
75+	15,100	17,600																							
	24,000	28,200																							

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 74			<p>Developing digital solutions and services - Corporate Director - Transformation</p> <p>Improving education attainment of all pupils - Head of Education</p> <p>Improving the skills and employability of young people and adult - Head of Education</p> <p>Support communities to be able to do more for themselves and reduce demand on public services -Head of Housing and Community Development</p> <p>Developing a workforce strategy which ensures Council is an excellent employer - Head of Workforce and Organisational Development</p> <p>In addition, Adult Social Services and Children's Services are taking a number of specific actions, supported by Workforce and Organisation Development to tackle the issue, which is already having a significant impact in domiciliary care staff recruitment and social work recruitment. Here there are areas where recruitment and retention is more difficult, including mental health social workers who are AMHP qualified, where a number of recent campaigns resulted in 19 applicants but only two people being appointed. Within domiciliary care, it is becoming more difficult for providers to recruit staff.</p> <p>Actions that are being taken forward in 2019-20 to mitigate the immediate social care risks include:</p> <p>Increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches - Head of Commissioning (Children's and Adults)</p> <p>Develop an Adults' Service recruitment and retention strategy, based on a strong brand promoting positive values and working/living environment - Head of Workforce and</p>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 75			<p>Organisational Development</p> <p>Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications to support role requirements within the Council and the Health Board - Head of Workforce and Organisational Development</p> <p>Formal partnership with the Open University and secondment of students - Head of Adult Services and Head of Children Services</p> <p>Consideration of a joint bank of staff available to maintain staffing levels and reduce risk - Head of Workforce and Organisational Development</p> <p>Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care roles - Head of Workforce and Organisational Development</p> <p>Build better connections with schools within Powys and universities within Wales and just across the border in order to attract younger people to work in Powys - Head of Education</p> <p>Conduct research to understand the workforce profile in health and social care - Head of Workforce and Organisational Development</p> <p>Telehealth and telecare - Head of Commissioning (Children's and Adults)</p> <p>Review Summary: Reviewed 07/02/19</p>					

Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
PPPP0007  Gwilym Davies  <b>Escalated From</b> :- Property, Planning, and Public Protection  <b>Tudalen 76</b>	Heart of Wales Property Services (HOWPS)	<ul style="list-style-type: none"> <li>- Failure of statutory functions.</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> <li>- Financial Risk to HRA and wider Authority.</li> <li>- Critical Wales Audit Office Report.</li> </ul>	16/01/2020  Review Summary: 3rd Qtr. 19/20: <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 below the acceptable performance level. The Rectification Plan in its original form was rejected by the Council. A revised Rectification Plan is now awaited from HOWPS.</li> </ul> Review Summary: 2nd Qtr 19/20: <ul style="list-style-type: none"> <li>- Performance monitoring in place.</li> <li>- Pre-Board meetings attended by key internal stakeholders have been set up to discuss high level issues. Actions from meeting escalated to HOWPS Board.</li> <li>- Communication plan reviewed monthly.</li> </ul> Review Summary: 1st Qtr 19/20 <ul style="list-style-type: none"> <li>- Performance monitoring in place.</li> <li>- Pre-Board meetings attended by key internal stakeholders have been set up to discuss high level issues. Actions from meeting escalated to HOWPS Board.</li> <li>- Communication plan reviewed monthly.</li> </ul> 4th Qtr 18/19 <ul style="list-style-type: none"> <li>- Performance monitoring in place.</li> <li>- Communication plan reviewed monthly.</li> </ul>	Cllr Phyl Davies  <b>Nigel Brinn</b>	9	9	<ul style="list-style-type: none"> <li>• Potential to invoke step in clauses for specific parts of the contract in line with contract</li> <li>• Awaiting consultation resource plan.</li> <li>• Performance monitoring</li> <li>• Utilisation of contract document to escalate issues.</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> </ul>	Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action In Progress  Action In Progress  Control In Place  Control In Place  Control In Place  Control In Place



Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
PPPP008  Gwilym Davies  Escalated From :- Property, Planning, and Public Protection  Tudalen 77	Lack of adequate resilience planning	'- Non-compliance with Civil Contingencies Act (CCA) 2004 - Failure to deliver critical services in the event of a declared emergency or event - Disruption to business as usual activities	17/01/2020 Review Summary: 3rd Qtr. 19/20 • The 2019 SWAP audit was completed, and feedback was Crisis management is well controlled in partnership with the Local Resilience Forum • 4 Gold officers trained; • 5 officers are booked in for Silver training (courses April and October 2020). • Loggist training delivered (in conjunction with PTHB) to 6 PCC staff. An additional 4 staff will be trained in 2020. • 1 officer working towards Level 3 Education & Training in order to deliver more in-house training in conjunction with PTHB. Review Summary: 2nd Qtr 19/20 • Service and Corporate Business Continuity Plans fully updated; • Creation of new Incident Management Guide (in draft form); • Review of contingency planning documents underway; • Four Gold/Strategic Officers Trained; • Loggist masterclass training undertaken by Civil Contingency team member, this will be delivered to other officers throughout quarter three; • Participation in Exercise Wales Connect; • Continued engagement at multi-agency Local Resilience Forum meetings. Review Summary: 1st Qtr 19/20 - Three SLT members have completed gold training. - Loggists, silver and gold training being requested. - Operation Wales Connet planned for July 2019 (Training) 4th Qtr 18/19 -Gold training to be promoted to SLT. -Two SLT enlisted on gold training. -Emergency planning awareness presentation to SLT completed 10/04/2019.	Cllr Phyl Davies  Nigel Brinn	6	4	<ul style="list-style-type: none"> <li>'- Education and training programme</li> <li>- Business Continuity Management (BCM) Group</li> <li>- Service Business Continuity Plans (BCP)</li> <li>- Corporate BCP</li> <li>- Major Incident Plan</li> <li>- Self-evaluation of BCM incorporated into SIP process</li> <li>- PCC representation on Dyfed Powys Local Resilience Forum (LRF)</li> <li>- 24/7 Duty Emergency Planning Officer to facilitate PCC response</li> </ul>	Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place Control In Place

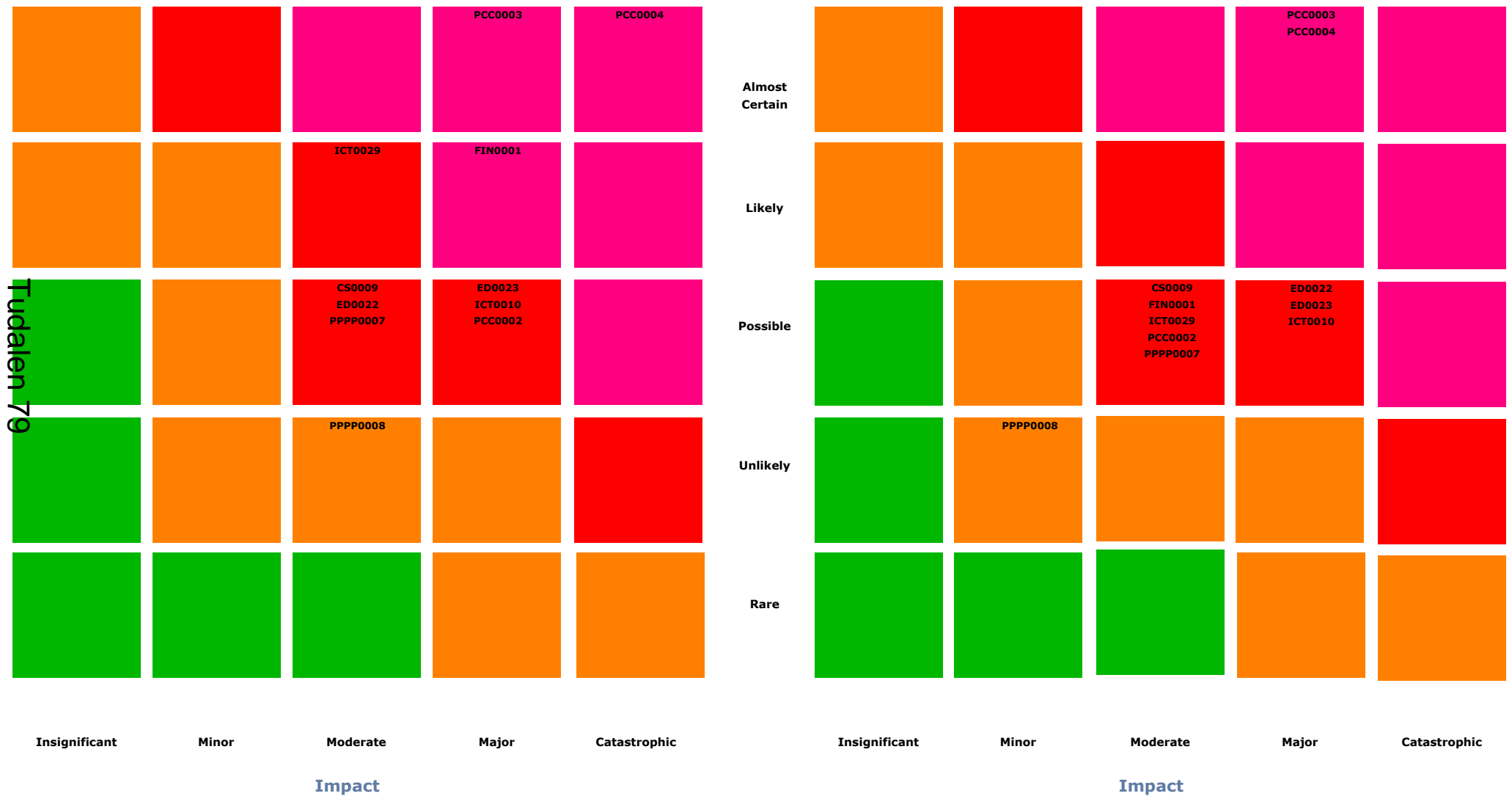
Strategic Risk Register				Portfolio	Inherent	Residua	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Review	Director or Head of Service			Control or Action	Status
Tudalen 78								

# Heatmap Inherent and Current

Inherent Ratings Summary Heatmap

Residual Ratings Summary Heatmap

Probability



## Detailed Risk Information

Residual and Target Rating Changes since 26/07/2019

Risk Ref	Risk Identified	Owner	Service Area	Prev Inherent Rating	->	Inherent Rating	Prev Residual Rating	->	Residual Rating
PCC0004	Significant long term decrease in the working age population impacts on Council's ability to recruit and retain or commission the workforce it requires	Ness Young	Powys County Council	28		25	21		20
PCC0003	The council receives a negative regulatory / inspection report	Caroline Turner	Powys County Council	15		20	15		20
ED0023	The council fails to make the necessary improvements in response to Estyn recommendations.	Lynette Lovell	Education	No Previous		12	No Previous		12
ICT0010	Non compliance with data protection legislation (General Data Protection Regulations (GDPR) and UK Data Protection Act (DPA) 2018	Helen Dolman	Digital Services	21		12	14		12
ED0022	The council will be unable to manage the schools budget without extra resource and finance and this will affect every individual school in Powys that has a deficit budget.	Lynette Lovell	Education	No Previous		9	No Previous		12
FIN0001	The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position	Jane Thomas	Financial Services	15		16	10		9
ICT0029	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	15		12	10		9
PCC0012	The impact on the Council as a result of Brexit.	Greg Thomas	Powys County Council	15		12	6		9
CS0009	Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services	Jan Coles	Children's Services	15		9	15		9
PPPP0007	Heart of Wales Property Services (HOWPS)	Gwilym Davies	Property, Planning, and Public Protection	15		9	15		9
PPPP0008	Lack of adequate resilience planning	Gwilym Davies	Property, Planning, and Public Protection	10		6	3		4

### 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.

## AUDIT COMMITTEE

7<sup>th</sup> February 2020

## CABINET

11<sup>th</sup> February 2020

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

**REPORT TITLE:** Treasury Management Quarter 3 Report

**REPORT FOR:** Information

## 1. Purpose

- 1.1 CIPFA's 2009 Treasury Management Bulletin suggested:  
"In order to enshrine best practice it is suggested that authorities report formally on treasury management activities at least twice a year and preferably quarterly."

The CIPFA Code of Practice on Treasury Management emphasises a number of key areas including the following:-

- xi. Treasury management performance and policy setting should be subject to scrutiny prior to implementation.

- 1.2 In line with the above, this report is providing information on the activities for the quarter ending 31<sup>st</sup> December 2019.

## 2. Economic Background and Forecasts

- 2.1 The economic background is attached at Appendix B.
- 2.2 The most recent forecast of interest rates by the Authority's advisor is as follows:

	Mar 20	Jun 20	Sep 20	Dec 20	Mar 21	Jun 21	Sep 21
<b>Bank rate</b>	0.75%	0.75%	0.75%	0.75%	1.00%	1.00%	1.00%
<b>5yr PWLB</b>	2.40%	2.40%	2.50%	2.50%	2.60%	2.70%	2.80%
<b>10yr PWLB</b>	2.70%	2.70%	2.70%	2.80%	2.90%	3.00%	3.10%
<b>25yr PWLB</b>	3.30%	3.40%	3.40%	3.50%	3.60%	3.70%	3.70%
<b>50yr PWLB</b>	3.20%	3.30%	3.30%	3.40%	3.50%	3.60%	3.60%

### **3. Treasury Management Strategy**

3.1 The Treasury Management Strategy approved by Full Council on 7th March 2019 is at Appendix A.

3.2 The Authority's investment priorities within the Strategy are: -

- (a) the security of capital and
- (b) the liquidity of its investments.

3.3 The Authority aims to achieve the optimum return on its investments commensurate with proper levels of security and liquidity. The risk appetite has been low in order to give priority to security of investments.

### **4. Current Investments**

4.1 The current investment market is difficult in respect of earning the level of interest rates commonly seen in previous years as rates are very low and in line with the 0.75% Bank Rate.

4.2 The Authority had the following investments at 31<sup>st</sup> December 2019:-

<b>Invested with:</b>	<b>Principal £000's</b>	<b>Interest Rate</b>	<b>Start Date</b>	<b>Maturity Date</b>
HSBC	4,915	0.50%		
Thurrock BC	5,000	0.74%	30-Sep-19	06-Jan-20
<b>Total</b>	<b>9,915</b>			

4.3 Higher return rates have been difficult to achieve as the Authority is not in a position to invest its cash for more than a short period of time.

4.4 Investment returns in future years:  
Our advisors' current suggested earning rates for investments for budgeting purposes were as follows:-

2019/20	0.75%
2020/21	0.75%
2021/22	1.00%

These are based on investments for up to three months duration.

### **5. Credit Rating Changes**

5.1 There have been no credit rating changes relevant to this Authority's position during the last quarter.

5.2 The credit rating list for end of December is attached as a separate file to this report.

## 6. **Borrowing / Re-scheduling**

6.1 Effective management of the Authority's debt is essential to ensure that the impact of interest payable is minimised against our revenue accounts whilst maintaining prudent borrowing policies.

6.2 The Authority's Capital Position:

The Council's underlying need to borrow for capital expenditure is termed the Capital Financing Requirement (CFR). This figure is a gauge of the Council's indebtedness. The CFR results from the capital activity of the Council and resources used to pay for the capital spend. It represents the current year's unfinanced capital expenditure and prior years' net or unfinanced capital expenditure which has not yet been paid for by revenue or other resources.

Part of the Council's treasury activities is to address the funding requirements for this borrowing need. Depending on the capital expenditure programme, the treasury service organises the Council's cash position to ensure that sufficient cash is available to meet the capital plans and cash flow requirements. This may be sourced through external borrowing or utilising temporary cash resources within the Council.

Net external borrowing (borrowings less investments) should not, except in the short term, exceed the total of CFR in the preceding year plus the estimates of any additional CFR for the current year and next two financial years. This allows some flexibility for limited early borrowing for future years.

### **Original CFR Position (per original approved budget):**

	As at 31.03.19 Actual	2019/20 Original Estimate	2020/21 Original Estimate	2021/22 Original Estimate
	£M	£M	£M	£M
Capital Financing Requirement	349,530	401,581	446,140	465,145

### **Updated CFR position as at 31.12.19:**

	As at 31.03.19 Actual	2019/2020 Current Estimate	2020/21 Current Estimate	2021/22 Current Estimate
	£M	£M	£M	£M
Capital Financing Requirement	349,530	392,125	440,252	478,869

6.3 The Authority had outstanding long-term external debt of £299.2m at 31<sup>st</sup> March 2019. In relation to the CFR figure for 31<sup>st</sup> March 2019, this equated to the Authority being under borrowed by £50.3m. Using cash reserves as opposed to borrowing has been a prudent and cost effective approach over the last few years. However, members will be aware that internal borrowing is only a temporary situation and officers have advised that, based on capital estimates, it will be necessary for the Authority to borrow at stages over the next few years.

6.5 On 9<sup>th</sup> October 2019 HM Treasury increased the margin that applies to new PWLB loans by 100bps with no prior discussion. This led to increased borrowing rates for local authorities.

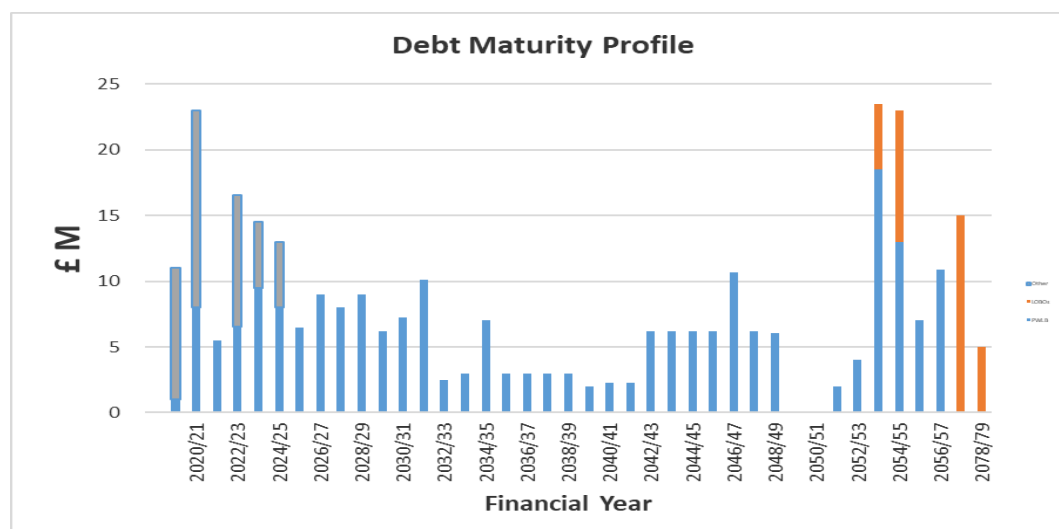
6.4 Capital Budget/Spend per efinancials:

<b>Capital:</b>	<b>Original Approved Budget £</b>	<b>Working Budget £</b>	<b>Actual Capital Spend (not including commitments) £</b>	<b>%age Actual Spend</b>
	92,234,000			
Qtr 1 end of June		123,568,153	6,655,314	5.39%
Qtr 2 end of Sept		102,036,287	21,973,109	21.53%
Qtr 3 end of Dec		76,226,654	39,298,294	51.55%

The financing of the approved capital budget included £51m of Prudential Borrowing and Supported Borrowing of £13.72m.

It remains a significant challenge to manage the Authority’s cashflow and its need to borrow when the Capital working budget increases/decreases significantly during the financial year and, despite this, actual spend continues to be significantly below the working budget.

6.5 *Debt Maturity Profile as at 31.12.19:*





## 6.6 PWLB Loans Rescheduling:

The Public Works Loans Board released a circular regarding rates on 20<sup>th</sup> October 2010. As a result of this, rates immediately increased by 0.87-0.88 basis points across the board. The overall impact of this circular was that it is far more difficult for authorities to reschedule debt. PWLB interest rates in the last quarter have not been conducive towards any rescheduling.

## 7. **Prudential Indicators**

7.1 All TM Prudential Indicators were complied with in the quarter ending 31<sup>st</sup> December 2019.

## 8. **VAT**

8.1 The Technical Section of Finance act as the authority's VAT section. VAT can pose a risk to the authority hence the Treasury Manager has been asked to include VAT information in these quarterly reports.

8.2 The monthly VAT returns were submitted within the required deadlines during the quarter ending 31<sup>st</sup> December 2019.

8.3 Key Performance Indicators:

The VAT KPI's for 2019/20 are attached at Appendix C. The KPI's for debtor invoices are showing an improvement compared to previous years due to the introduction of a workflow process for checking debtor invoices implemented as part of the new financial system in April. Further to this, this process is now ensuring correct vat treatment prior to invoices being raised as opposed to after.

## **Advice**

N/A

## **Resource Implications**

N/A

## **Legal implications**

N/A

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

N/A

## **Integrated Impact Assessment**

N/A

**Recommendation**

It is recommended that this report be accepted.

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Head of Service: Jane Thomas

Corporate Director: Ness Young

## **Appendix A:**

### **Approved Treasury Management Strategy 2019/20:**

#### *7.5 “High” credit quality:*

7.5.1 It is proposed that the Authority continue with the following in respect of defining a “high” credit quality. If a rating is not available from any of the rating agencies then the available ratings will be used. Members will note that this proposal excludes investments with some banks off the advisors’ suggested list:-

Long Term Ratings (in respect of long-term investments):

Permitted Fitch Ratings	Permitted Moody's Ratings	Permitted S&P Ratings
AAA	Aaa	AAA
AA+	Aa1	AA+
AA	Aa2	AA
AA-	Aa3	AA-

Short Term Ratings (in respect of short-term investments):

Permitted Fitch Ratings	Permitted Moody's Ratings	Permitted S&P Ratings
F1+	N/A	A-1+
F1	P-1	A-1

#### *7.6 Country limits:*

7.6.1 It is proposed that the Authority will use approved counterparties from the UK and approved counterparties from other countries with the following sovereign credit ratings:-

Permitted Fitch Ratings	Permitted Moody's Ratings	Permitted S&P Ratings
AAA	Aaa	AAA

<b>Country</b>	<b>Maximum Investment per Country</b>	<b>Credit Rating/Other Assessment of Risk</b>
AAA countries	£20M (held in call accounts)	As per rating list
UK	No Maximum Investment	As per rating list

7.7 *Group/Institutions - Counterparty Criteria/Limits:*

**Specified Investments:**

<b>Institution</b>	<b>Maximum Investment per Group/Institution £M</b>	<b>Maximum Length</b>	<b>Credit Rating/Other Assessment of Risk</b>
UK Banks	30	Up to 364 days	As per Link's matrices and the Authority's definition of a high credit rating
Foreign Banks	5	Up to 364 days	As per Link's matrices and the Authority's definition of a high credit rating
Other Local Authorities	25	Up to 364 days	N/A

**Non-Specified Investments:**

<b>Institution</b>	<b>Maximum Investment per Group/Institution £M</b>	<b>Maximum Length</b>	<b>Credit Rating/Other Assessment of Risk</b>
UK Banks	10 (£5M limit with any one institution)	Up to 2 years	As per Link's matrices and the Authority's definition of a high credit rating
Foreign Banks	2	Up to 2 years	As per Link's matrices and the Authority's definition of a high credit rating
Money Market Funds (max. of 5)	10	N/A	All are AAA rated
Other Local Authorities	10	Up to 5 years	N/A
<i>Note: Limits for Specified and Non-Specified are combined limits. The maximum limit will also apply to a banking group as a whole.</i>			

## **Appendix B**

### **Economic Background**

#### **UK**

Economic growth in 2019 has been very volatile with quarter 1 unexpectedly strong at 0.5%, quarter 2 down at -0.2%, quarter 3 back up to +0.4% and quarter 4 expected to come in around zero. Political and Brexit uncertainty have dampened growth in 2019.

Despite political uncertainty ending with a decisive overall majority for the Conservative government in the December general election which clears the way for the UK to leave the EU on 31 January 2020, we still have much uncertainty as to whether there will be a reasonable trade deal achieved by the end of 2020.

After the Monetary Policy Committee raised Bank Rate from 0.5% to 0.75% in August 2018, it is little surprise that they have abstained from any further increases since then. We are unlikely to see any further action from the MPC until these remaining uncertainties over the likely type of Brexit become clear. If there was a no deal exit, it is likely that Bank Rate would be cut in order to support growth. However, if growth was to flag significantly in any event, the MPC could also cut Bank Rate in 2020. The Government has announced some major spending increases and is expected to make further commitments in the spring budget; these will provide some support to growth and will take some pressure off the MPC to act to stimulate growth by either cutting Bank Rate or implementing other monetary policy measures.

The MPC did have some concerns over the trend in wage inflation, which was on a rising trend, and peaked at a new post financial crisis high of 3.9% in June. Since then, however, it has been falling steadily back to 3.5% in October, (3 month average figure, excluding bonuses). Growth in employment picked up again to 24,000 in the three months to October, after a fall in the previous month's figures. However, this is still well below the 2018 average, although the unemployment rate remained at 3.8 percent, its lowest rate since 1975.

As for CPI inflation itself, this fell to 1.5% in October and November and is likely to remain between 1.5% and 2% over the next two years. If there was a no deal Brexit though, it could rise towards 4%, primarily as a result of imported inflation on the back of a weakening pound.

The strong wage inflation figure and the fall in CPI inflation is good news for consumers as their spending power is improving in this scenario as the difference between the two figures is now around 2.0%, i.e. a real term increase. Given the UK economy is very much services sector driven, an increase in household spending power is likely to feed through into providing some support to the overall rate of economic growth in the coming months.

## **Appendix C**

### **VAT - Key Performance Indicators:**

#### **Creditor Invoices**

VAT return for	No of high value Creditor invoices checked	No of Creditor invoices highlighted as requiring "proper" document for VAT recovery	%age of creditor invoices checked requiring "proper" document for VAT recovery
Apr-19	102	3	2.94%
May-19	184	1	0.54%
Jun-19	224	0	0.00%
Jul-19	235	1	0.43%
Aug-19	226	1	0.44%
Sep-19	177	1	0.56%
Oct-19	199	2	1.01%
Nov-19	214	2	0.93%
Dec-19			
Jan-20			
Feb-20			
Mar-20			

#### **Income Management Entries**

VAT return for	No of entries checked by formula per the ledger account code used	No of entries needing follow up check (but not necessarily incorrect)	%age of entries needing follow up check
Apr-19	645	17	2.64%
May-19	676	4	0.59%
Jun-19	947	3	0.32%
Jul-19	974	7	0.72%
Aug-19	590	12	2.035
Sep-19	877	13	1.48%
Oct-19	1,088	5	1.01%
Nov-19	893	13	1.46%
Dec-19			
Jan-20			
Feb-20			
Mar-20			

### Debtor Invoices

VAT return for	No of Debtor invoices checked	No of checked debtor invoices with incorrect VAT code used	%age of debtor invoices with incorrect VAT code
Apr-19	50	0	0.00%
May-19	57	1	1.75%
Jun-19	72	6	8.33%
Jul-19	119	23	19.33%
Aug-19	74	3	4.05%
Sep-19	89	11	12.36%
Oct-19	59	5	8.47%
Nov-19	81	8	9.88%
Dec-19			
Jan-20			
Feb-20			
Mar-20			

### Purchase Cards

VAT return for	No of transactions for previous month for which paperwork requested for checking	No of Amazon invoices included in check	Resolvable errors discovered	No of transactions for which no response received within timescale	Value of VAT potentially claimable but recharged to budget due to non-response	No of transactions where VAT claimed incorrectly	%age of transactions available to be checked where VAT was claimed incorrectly	Value of VAT incorrectly claimed hence recharged to budget
Apr-19	243	26	15	12	£1,161.13	11	4.76%	£1,162.23
May-19	302	25	21	20	£1,849.63	22	7.80%	£1,035.51
Jun-19	348	23	31	16	£1,677.68	12	3.61%	£730.63
Jul-19	279	0	19	11	£1,331.95	9	3.365	£1,856.52
Aug-19	132	0	9	4	£726.08	6	4.69%	-£35.05
Sep-19	256	0	15	11	£1,503.81	9	3.67%	£4,703.92
Oct-19	274	0	8	6	£1,170.47	10	3.73%	£1,799.96
Nov-19	266	0	9	N/A	N/A	N/A	2.63%	-£124.05
Dec-19								
Jan-20								
Feb-20								
Mar-20								

### Chargebacks to service areas

The upload of appropriate documents to the Barclaycard purchase card system to enable vat recovery was made mandatory in September 2017 as a result of the lack of response from service areas/establishments to provide documents when requested. Where no document has been uploaded, any VAT amount input against the transaction is charged to the service area as there is no evidence to support the vat recovery.

Any other VAT errors that come to light as a result of the various checks are also charged to the relevant service areas.

Budget holders are able to see this clearly as chargebacks are coded to account code EX400600 and the activity code used alongside this gives the reason why this chargeback has occurred.

The total amount charged back to service areas in 2019/20 to end of December is £4,279.11. The breakdown of this is as follows:-

<b>Reason</b>	<b>£</b>
Not a tax invoice	3,018.05
Not a tax invoice – no response from service area	114.83
PCC not the named customer	4,328.81
No VAT registration number on invoice	142.00
No invoice uploaded to Barclaycard system	14,987.97
Invoices uploaded do not match the payment	512.31
No evidence supplied to enable vat recovery	634.20
Foreign VAT (not recoverable)	68.05
No VAT amount on invoice in first place	3,150.41
Supplier not vat registered	155.40
Supply not to PCC	12,012.83
Overaccounting for VAT	4,844.38
PCC Internal payment	0
Document spoilt	0
Pool car adjustment	776.58
<b>Total</b>	<b>44,745.82</b>

Of the above the £23,738.17 was potentially recoverable.



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**REPORT TO: POWYS COUNTY COUNCIL CABINET**

**REPORT FROM: INDEPENDENT CHAIR OF THE PCC IMPROVEMENT AND ASSURANCE BOARD**

**REPORT DATED: JANUARY 2020**

## **1. Background**

The Improvement and Assurance Board was established in April 2018 with a clear purpose to 'assist the Leader in driving forward the required change and improvement in the Local Authority'.

This is the sixth report of the Independent Chair and should be read in conjunction with the previous report to avoid repetition. The report of January 2019 set out priorities, particularly for Social Care, that remain relevant today.

The Board's remit was extended in September 2019 to include Education Services, following an ESTYN inspection. Together with Education, the Board covers Adult and Children's Social Care, and all corporate and transformation activity.

This is a highlight report and does not cover all work undertaken; that level of detail is covered elsewhere, for example;

- monthly Board minutes, agendas and papers
- regular performance reports
- CIW and ESTYN reports and correspondence.

This report will highlight key issues at this point in time.

## **2. Corporate Matters**

### **2.1 Senior Leadership**

The Senior leadership team is now stable, with key individuals having been in post for a reasonable period of time. The benefit of having a dedicated Director of Social Services should deliver both increased pace and sustainability in relation to the Social Services improvement agenda.

The appointment of a Director of Resources and Transformation has allowed this vital work to move forward with enhanced structure and pace.

The Chief Executive has made appropriate interim arrangements in relation to Education Services. The interim Chief Education Officer is supported by

experienced and specialist advisers to ensure that the improvement programme following inspection is actioned at pace.

The strategic and policy framework, corporately and for Social Services, is in place; the challenge over the next six months is to drive forward the required changes.

Following the recent ESTYN inspection, work is underway to determine the strategic framework and policies in relation to the Education Service. This needs to be completed promptly so that the issues highlighted in the inspection can be addressed within a standards-driven improvement programme.

## **2.2 Vision, Finance and Service Strategy**

It remains the case that delivery of the key identified improvements in Social Care will ultimately deliver the minimum cost option. The financial pressures in the Social Care Service will only be resolved by concentrating on implementing new service and practice models.

The recent provisional financial settlement will, most likely, ease the cost pressures faced by the Authority, not eliminate them. The outcome-based budgeting approach that is being adopted will take time to implement; the settlement will help, but the required culture change remains pressing.

As indicated earlier, the development of a new strategic framework for Education Services, including schools, is now an urgent priority with major steps needing to be taken in the next three to six months.

## **2.3 Performance Management**

A performance management culture continues to develop. In response to the recent ESTYN inspection, an extensive range of information has been collated and analysed, which will assist in developing options for the future, that will be demonstrably evidence-based. The Board continues to oversee progress in developing the Quality Assurance approaches that are a vital element of performance management beyond the hard data.

## **2.4 Political Leadership and Scrutiny**

The Board continues to support the member development work being led by the Chief Executive. Elected Members continue to be active in the Board, and the Leader continues to oversee the improvement work via the in-house Board Sub Chairs.

Elected Members will need to positively contribute to future discussions with both ESTYN and CIW, identifying the importance and impact of the improvement activity across the Authority.

Elected members will be required to take important decisions in relation to future school organisation aimed at driving up standards, the ability to deliver such decisions will be the key determinant in term of education improvement.

## **2.5 Children's Services**

### **Workforce**

This remains the single greatest risk to the sustainability of improvements. Despite a range of initiatives, the reliance on agency workers remains stubbornly and unsustainably high. A revised and comprehensive workforce plan has recently been adopted. The plan incorporates a range of proposals from 'grow your own' to foreign recruitment. It remains imperative that this strategy, together with an incentives-based model is pursued at pace.

### **Practice Framework**

Signs of Safety continues to be driven as the practice model. Evidence is emerging of positive impact on the experience of individual young people. If there is to be no further inspection in the near term, it will be necessary for the Authority to consider how it obtains assurance of the impact at the individual case level. The Board can oversee the policy and practice framework, but detailed examination of individual cases is needed to verify the real impact. Consideration of peer review or independent practice audit is worthy of consideration.

### **Top Five Performance Indicators**

These remain much improved since the Board was established. Statutory visits and child protection visits, for example, are currently maintained at reasonable levels. Supervision remains of concern, and needs to be prioritised in light of the workforce strategy.

### **Looked After Children**

Numbers remain relatively stable, though at a higher level than benchmarking would suggest. Delivery of the safe reduction plan is a key task in the next quarter.

## **Further Children's Services Matters**

Recommissioning of high cost provisions and relocation of Out of County placements has shown limited progress and remains a priority to be vigorously pursued.

Developing early intervention and prevention work is providing some evidence of impact and will need to receive continuing support and attention in the coming months.

### **2.6 Adult Services**

CIW have notified the Authority of an improvement conference on 17 February. This follows on from the last inspection, and is an opportunity to review progress against recommendations, and the improvement journey more generally. Following the conference, the Authority will be able to revise its plans in light of the outcomes.

The work with the Institute of Public Care is progressing and needs, with partners, to be converted into specific actions aimed at improving the whole system's work in relation to hospital discharge policy and practice.

Having adopted a specific plan for dealing with delayed transfers of care and shortage of domiciliary care capacity, the Authority is seeking to deal with the pressures in the system at present. Close working with partners and the implementation of the transformation plan are both pre-requisites to improved performance.

Adult services are seeking to implement a strengths based approach, this requires significant attention and development in the coming period. It also requires effective joint working with Health partners.

All aspects of the service will be reviewed in the improvement conference and my next report will highlight required actions.

## **2.7 Education**

### **Post Inspection Action Plan (PIAP)**

Following the recent ESYTN inspection, a draft PIAP was produced. This plan was reviewed at an ESTYN Improvement Conference on 28 November. The formal ESTYN response is awaited; once received, any necessary amendments will be made.

The Board has provided its observations on the Plan and advised the need for simplification in some areas. The balance between the PIAP and internal action plans needs to be reviewed, in light of the formal feedback.

### **Board Priorities**

The Board recognised the vital importance of the PIAP, and the need to deliver it at pace. The Board will monitor progress at each of its future meetings. However, as well as monitoring progress across the extensive range of necessary improvement, the Board in its work will prioritise three areas;

1. Developing and implementing a vision for school organisation, driven by standards.
2. Driving improvements in provision for Special Educational Needs/Additional Learning Needs (SEN/ALN).
3. Leadership, both corporately and in schools.

### **Education Progress**

The draft PIAP has been developed, implementation commenced, and governance established.

Engagement with stakeholders in relation to the vision for schools has commenced.

Cabinet will shortly be considering the vision for Education, driven by standards and based on guiding principles. This will lead to a consultation exercise, proposals from which need to be promptly adopted. A comprehensive review of SEN/ALN provision is underway, and again, must lead rapidly to specific improvement plans.

The Board has agreed with the service necessary governance arrangements to oversee this vital work.

## **Conclusion**

The Senior Management Team, together with Members, have established the strategies and policies needed to deliver improvement in both Corporate Services and Social Care. Work is underway to establish the same for Education.

Improvements have been made, particularly corporately and in Children's Services. That said, there remains much to be done and the challenge in coming months remains 'delivery at pace'.

**REPORT AUTHOR:        JACK STRAW**



**MINUTES OF A MEETING OF THE IMPROVEMENT AND ASSURANCE BOARD -  
EDUCATION HELD AT COMMITTEE ROOM A - COUNTY HALL, LLANDRINDOD  
WELLS, POWYS ON THURSDAY, 9 JANUARY 2020**

## PRESENT

Jack Straw (Chair)	JS	Independent Member
Cllr Rosemarie Harris	RH	Executive Leader
Cllr Aled Davies	AD	Deputy Leader
Cllr James Gibson-Watt	JGW	Leader of the Liberal Democrat Group
Phil Hodgson	PH	Independent Member
Gwynne Jones	GJ	Independent Member

**In Attendance – PCC Representatives**

			Present for Item:
Caroline Turner	CT	Chief Executive	All
Cllr Graham Breeze	GB	Portfolio Holder for Corporate Governance	All
Cllr Phyl Davies	PD	Portfolio Holder for Education	All
Cllr Rachel Powell	RP	Portfolio Holder for Young People	All
Debbie Lewis	DL	Education Advisor	All
Emma Palmer	EP	Head of Transformation & Communications	All
Francesca Sandwell	FS	PA to Senior Leadership Team (secretariat)	All
Geraint Rees	GR	Education Advisor	All
Lisa Williams	LW	WAO	
Lynette Lovell	LL	Interim Chief Education Officer	All
Ness Young	NY	Corporate Director (Transformation & Resources)	All
Phil Hodgson	PH	WLGA Adviser	All
Sarah Quibell	SQ	Strategic Improvement Manager (Schools)	All

**Apologies**

Alison Bulman	AB	Director of Social Services
Caroline Rees	CR	Education Advisor
Jane Thomas	JT	Head of Financial Services

**Absent**

Cllr Matthew Dorrance	MD	Leader of the Labour Group
Cllr Myfanwy Alexander	MA	Portfolio Holder for Adult Services

<b>1.</b>	<b>MINUTES FROM THE MEETING ON 27TH NOVEMBER 2019 AND 19TH DECEMBER 2019</b>
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The minutes of 27<sup>th</sup> November 2019 were agreed as a true record.

The Chair asked for the wording on page 5 under Recommendation 3 to be re-considered. It was important that that cultural change across the service required

commitment and visibility from the people sitting around the table, but this though necessary was not sufficient.

**Action: FS to amend the minutes from 27<sup>th</sup> November 2019 (page 5 under Recommendation 3)**

The minutes from 19<sup>th</sup> December 2019 were agreed as a true record.

<b>2.</b>	<b>RESPONSE TO ACTIONS FROM THE MEETING ON 27TH NOVEMBER AND 19TH DECEMBER 2019</b>
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Update on actions from 27<sup>th</sup> November 2019

Action 3: Development of a broader programme of engagement for Elected Members in regard to Education. It was agreed that workshops needed to fit in with the corporate decision-making cycle and that there may be times where 2 workshops need to be held in one month.

**Action: NY to liaise with GJ and amend the workshop schedule accordingly.**

Update on action from 19<sup>th</sup> December 2019

A1: LL to circulate Estyn improvement Conference letter to IA Board members ASAP..

A2: Council officers to request funding for improvement support for schools from Welsh Government. A meeting with Steve Davies has been confirmed. The Chair asked Officers to update the board before the next meeting.

<b>3.</b>	<b>REVISED PIAP</b>
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LL advised that on Friday 20<sup>th</sup> December she had received a call from from Karen Newby Jones from Estyn where a verbal update had been provided. LL reported that Estyn is satisfied that the Local Authority understands the concerns and has put appropriate plans in place which are fit for purpose.

While the School Service awaits the outcome letter form Estyn, LL provided assurances that the Service had been busy implementing the plan. The PIAP had been amended prior to the call with Estyn and is now a more strategic, high level document with key actions. Team plans have been put in place which go in to the high level detail.

<b>4.</b>	<b>IMPLEMENTATION OF PIAP - HIGHLIGHT REPORT</b>
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**Recommendation 1 – Lynette Lovell**

LL highlighted that progress had been made within secondary schools over the past year with the number in improvement being reduced from 7 schools to 3 schools. This work was ongoing in light of the Estyn review.

Challenge Advisors were currently undertaking work to identify the effectiveness of Governing Bodies and where more support and training was required. GJ noted that there was correlation between standards and effectiveness of Governing Bodies and this was often linked with the leadership of the school.

LL informed that Board that health and wellbeing has been included in the PIAP and this had been questioned by Estyn. LL stated that she and the team were adamant that this was required.

PH asked if there was benchmarking data available for Governing Bodies in Wales. LL reported that there was no benchmark, but effectiveness formed part of the matrix which is used within national categorisation.

As part of the national categorisation programme, focus on more able and talented students has been a line of enquiry for Challenge Advisors. 90% of schools have a policy for more able and talented and this needs to be monitored.

GR raised that Governors Wales had been abolished a few years ago and it was clear that a strategy was required to ensure the right advice and training was in place for 90 plus Governing Bodies in Powys as well as headteachers and senior staff. The Local Authority needs to ensure that new governors understand their roles and responsibilities.

The Chair indicated that with so many different elements forming part of this recommendation, it needs to be anchored in the broader school reorganisation work.

It was agreed that future board reports on the PIAP will be preceded by an update on the broader vision.

## **Recommendation 2 – Lynette Lovell**

LL reported that Caroline Rees had carried out a review of the ALN service whereby further issues had been found and recommendations made. In December, DL and CR with officers had been out to review Powys' 23 special resource units to assess their effectiveness. The review had identified gaps in Powys' provision. For example, the Service currently has no specialist advice on dyslexia, dyspraxia and ASD and a restructure of ALN provision is currently being designed. LL stated that this review will be brought to a future I&A Board.

The Chair raised that the Local Authority needed to ensure that the breadth of the review was sufficient and linked with Recommendation 4. This will be discussed during the workshop in February.

Cllr RP indicated that she was still concerned to see the use of '*school refusers*' and '*school phobics*' in the document as this language had been discussed before. It was agreed that the words did not set the right tone, but that it was terminology used by both Estyn and Welsh Government. GR assured the Board that the document would only be used with school leaders and not parents and young people. Asterisks could

be used in reports to reiterate that this is not language Powys would normally use. It was agreed that a letter would be sent to Estyn and Welsh Government to highlight concern over the use of certain words and phrases.

**Action: LL and GR to draft a letter to Welsh Government and Estyn about their use of language on behalf of the I&AB**

### **Recommendation 3 – Debbie Lewis**

A workforce development action plan is now in place for the Service which links clearly with Powys County Council's workforce strategy, vision and policies.

The Chair raised that having read the paper he was uncertain whether it referred to the development of school leaders as well as School Service staff. DL indicated that the Estyn recommendation referred to developing leadership within the Service rather than school leaders. While leadership in schools had been positive in the Estyn review, this contrasted with what had been said about the Service. GR stated that the plan was to make the Council more effective body so that schools could engage more effectively with it.

The Chair stated that he felt one of the Board's key priorities should be leadership across both the corporate and school elements of the service.

A discussion took place in regards to how future meetings should be structured and the focus of the Board. It was agreed that the Board should monitor the Estyn recommendations, but also focus on key strategic areas and priorities. The role of the Directors report will be to advise the Board of what is happening in key areas so that the Authority does not lose sight of the bigger picture.

GJ raised that Estyn would measure the Local Authorities progress by looking at whether the relationship between schools and LA changed.

PH noted that he felt reassured to hear that significant change was already taking place between officers and Schools and that the team was committed to the process.

### **Recommendation 4 – Geraint Rees**

Since the last I&A Board, Officers have run a number of engagement events. This has involved honest and positive discussions with schools, governors and Members. The School Service will take a paper to Cabinet at the end of January to seek permission to formalise this engagement with the public. This will then mean the Service can return to Cabinet before the summer term with a set of guiding principles to underpin a move to a sustainable school community.

The Chair noted that it would be beneficial for the Board to have sight of the Cabinet report for comment.

**Action: GR to provide cabinet paper on school reorganisation engagement to JS, PH and GJ**

A discussion took place regarding the use of language in the report and whether certain words and phrases would be understood by people outside of education. EP confirmed that the report had been sent to plainenglish.com.

### **Recommendation 5 – Geraint Rees**

Officers have had numerous meetings with all of the schools who had received warning notices before the summer. A clearer financial position will be available at the end of the financial year. Governor development evenings have been held in regards to finance, and training has been undertaken with school business managers. .

A paper has been taken to Cabinet recently to tweak the school funding formula. GR stated that the formula would always be subject to review. The Formula Review Group, which is made up of key stakeholders, will become key in how the Local Authority will fund the agreed vision for schools going forward, but the Local Authority also needs to focus on how it provides for the young people who are being educated today.

<b>5. ERW CURRENT ISSUES</b>
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During the meeting on 19<sup>th</sup> December changes at ERW had been raised and LL had been asked to bring a paper outlining her concerns.

LL highlighted that Powys had benefited greatly from the support that ERW provided. 2 years ago, 17 schools (both primary and secondary) were in some form of categorisation. This has now been reduced to 4 schools with the help of Challenge Advisors and ERW. Currently 6 secondary schools in Powys benefit from 1 day a week of support. However, a decision has been made to end this support after April 2020. This presents a challenge for Powys.

A discussion took place. ERW is funded by contributions from Local Authorities and Welsh Government grants. It is hoped that by meeting with the other Local Authorities who form part of the consortium that the support could remain. Otherwise Powys will need to find additional provision to support its schools and this could have a detrimental effect on its improvement journey.

The Chair offered his support and indicated that he would be available to attend any future meeting. It was agreed that this would be helpful.

<b>6. FORWARD WORK PROGRAMME FOR NEXT SIX MONTHS</b>
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The following 3 areas were confirmed:

- The vision for schools in Powys & Standards
- ALN
- Leadership (both corporately and in schools)

The Board will also need to review progress on the PIAP at every meeting.

The workshops were discussed. The Chair stated that their purpose was to run ideas and information etc. past the Board before they went to Cabinet.

Clarification was sought regarding attendance at the workshops. It was agreed that workshops should be open to all Board members, but that there was no expectation that everyone needed to attend. FS will ensure that invitations are sent to everyone.

The meeting came to a close at 11:53

**Jack Straw**  
**Chair**

# Public Document Pack

Improvement and Assurance Board - Social Care Friday, 10 January 2020

## MINUTES OF A MEETING OF THE IMPROVEMENT AND ASSURANCE BOARD - SOCIAL CARE HELD AT HWB ROOM 1, GROUND FLOOR, COUNTY HALL, LLANDRINDOD WELLS, POWYS ON FRIDAY, 10 JANUARY 2020

### Present

Jack Straw (Chair)	JS	Independent Member
Phil Hodgson	PH	Independent Member
Dr Gwynne Jones	GJ	Independent Member
Cllr Rosemarie Harris	RH	Executive Leader
Cllr Aled Davies	AD	Deputy Leader

### In Attendance – PCC Representatives

			Present for Item:
Alison Bulman	AB	Director of Social Services	1-10
Alistair Davey	AD	Welsh Government Social Services Division	All
Anna Hughes	AH	Strategic Programme Manager Childrens Services	All
Caroline Turner	CT	Chief Executive	All
Cllr Graham Breeze	GB	Portfolio Holder for Corporate Governance	All
Cllr Myfanwy Alexander	MA	Portfolio Holder for Adult Services	All
Cllr Rachel Powell	RP	Portfolio Holder for Young People	All
Dylan Owen	DO	Head of Commissioning (Children & Adults)	1-10
Emma Palmer	EP	Head of Transformation & Communications	All
Hannah Hope	HH	PA to Senior Leadership Team (secretariat)	All
Lisa Williams	LW	WAO	All
Ness Young	NY	Corporate Director (Resources & Transformation)	All
Sharon Powell	SP	Senior Manager Care & Support	All

### Apologies received

Cllr Phyl Davies	PD	Portfolio Holder for Education
Cllr Matthew Dorrance	MD	Leader of the Labour Group
Jan Coles	JC	Head of Childrens Services
Jane Thomas	JT	Head of Financial Services
Michael Gray	MG	Head of Adult Services

### Absent

Cllr James Gibson-Watt	JGW	Leader of Liberal Democrats Group
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### 1. MINUTES OF THE LAST MEETING

The minutes of meeting on 27 November were accepted as a true record.

The minutes of the meeting on 19 December were accepted as a true record, subject to the following amendments:

- Paragraph 3.2 – under the action should read GJ not JG; and
- Paragraph 3.4 – to remove the word audit as it was an internal review, not an internal audit review as stated.

Under matters arising, there was a discussion about the recent workshop in North Wales on Public Law Outline (PLO) issues and it was acknowledged that this was a national issue across Wales.

<b>2.</b>	<b>RESPONSE TO ACTIONS FROM THE LAST MEETING</b>
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The Action Logs from 27 November and 19 December were reviewed and noted.

EP advised that letters to the Welsh Government on national social care data sets had been drafted. RP would raise the issue at a Social Care Cabinet Members Network meeting later that month.

The action related to supervision from 27 November had not yet been actioned, but would be addressed by the meeting on 29 January.

<b>3.</b>	<b>CHAIRS UPDATE</b>
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There was a discussion about the scheduled Adult Services Improvement Conference on 17 February. The event is now confirmed as being 12:30pm – 3:30pm and Health Improvement Wales (HIW) and the Wales Audit Office (WAO) have been invited by Care Inspectorate Wales (CIW) to attend. Albert Heaney would not be attending. The Board discussed preparation for the event and the importance of being able to demonstrate how specific CIW recommendations have been addressed, but within the context of a wider transformation programme. The use of client case studies was encouraged, particularly focusing on recent work to address Delayed Transfers of Care (DTC) which had been very successful. AB thanked the Board for its advice and explained the preparations that are being made for the session, including a self-assessment exercise. It was agreed that the Council would need to make a statement at the start of the event giving key messages and to share a paper with attendees covering all of the above in advance.

**ACTION: A draft paper for the Adult Services Improvement Conference, including key messages to be tabled at the Improvement and Assurance Board meeting on 29 January.**

<b>4.</b>	<b>DIRECTORS EXECUTIVE SUMMARY</b>
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AB highlighted pressures in the system at present, particularly in adult social care. The service is preparing for a CIW Monitoring Visit at the end of January, CAHMS inspection first week of February, and an Improvement Conference on 17 February.

Adult services are experiencing the significant impact of winter pressures, whilst the Christmas period was relatively quiet, the start of this week there were 29 delays. Significant work has been undertaken this week with twice daily calls, tracking and follow up on actions, and end of day sitrep with health board colleagues. The service is now moving into the weekend with 4 delays, which is a result of hard work from colleagues, ability to divert demand and move people directly home, and put support in place, and has resulted in no one being added into DTC this week. This has been a co-ordinated approach by adult social care, the commissioning team, provider market, and health board colleagues.



Where provision has been identified, the service has been utilising this to meet the demands and needs of service users. From w/c 20 January, there will be more provision in Builth Wells which will be used more broadly. The Board were advised that the Winter Plan is responding well to the spike in demand.

Board noted the work that had been undertaken.

Extra care developments: at the end of January, Neuadd Maldwyn (Welshpool) will be going to preplanning, for consideration of public views, and noting funding all confirmed. Ystradgynlais will be going to preplanning in mid-February. Workers will be on site by end of summer, with building works continuing next year to provide 64 beds in Welshpool, and 35 beds in Ystradgynlais. Both sites will be online from April 2022.

ICF Funding: discussion on revenue and capital funding through the RPB, and the need to ensure this is in place and secured for the projects outlined above. Board noted the Cross-Cutting Resource Subgroup is the governance for ICF Funding and is regularly monitoring the spend as an RPB. Board noted that a briefing paper had been provided to WG on each project. There is an urgent need to meet with WG as concerns are being aired in relation to whether projects are fit for purpose.

**ACTION: Urgent discussion to take place between PCC/PTHB/WG to confirm funding position, and email update to the Board following this.**

**ACTION: briefing paper to be tabled at next Board meeting (DO)**

Board noted the 30<sup>th</sup> January workshop with the health board.

Supervision performance: the Service had manually re-run the December figures and could demonstrate an improvement to 84% in Childrens and 85% in Adults. The Board agreed that it was important that there should be one agreed data set going forward. The Board remains concerned that this level of performance is unacceptable.

**ACTION: EP to work with AH to ensure a single agreed data set is presented in management information reports from 1 January 2020 onwards.**

Board noted that a commitment is provided at each meeting to improve performance in this area, however what is the fundamental thing that will make this better and sustained? AB advised that performance management with front line managers is in place, with performance plans to address any areas of concern. Workshops and training have been undertaken within the service. The service is aware of where there are pockets of issues and are addressing these. AB, through the Employee Reps meetings has been advising staff that it is everyone's responsibility to have supervision, and that it is managers' responsibility to ensure this happens. AB advised the quality of supervision was assured through the services' QA processes.

**ACTION: A detailed analysis of outstanding supervision for Adults and Childrens to be included in the workforce report or the Board meeting on 26 February 2020.**

4.1	<b>CHILDREN'S SERVICES PROGRESS AGAINST CIW RECOMMENDATIONS</b>
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RP attended Early Help working group where they reviewed the early help offer, data, and how it was making a significant effect on other services by offering the right early help. Positive to see officers very open and transparent. The Early Help team received the highest level of referrals in November, which was significant.

Looked After Children position was 239 as at end of December 2019, with a large sibling group which has affected the figures.

The Board noted the appointment of 6 new foster carers.

Participation and Engagement Officer started in post yesterday and will be heavily involved in the work of the Corporate Parenting Group and ensuring young people can attend and be party to this group. AB noted the good work RP has undertaken in transforming the Corporate Parenting Group. AD advised that WG will be undertaking a major review of Corporate Parenting, with a consultation in due course.

4.2	<b>ADULT SERVICES PROGRESS AGAINST CIW RECOMMENDATIONS</b>
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Outstanding Reviews: as at 09 January, this has reduced to 366, previously 426 in mid-December. The service advised they are on target to meet the timescales set. Future reporting from April 2020 will be revised to capture the position more effectively. The outcomes so far have seen reductions of double to single handed care. The service was looking at provision of domiciliary care across localities and will be looking at the reasons for demand and understand this in more detail.

**ACTION: Evidence of the work being undertaken to be brought back to the Board in April 2020.**

Direct Payment provision is increasing. Community Catalyst project worker has commenced in post, and has assisted in progressing the provision of PAs, which is positive.

Safeguarding enquires completed within statutory timescales: Board noted this remains a high performance, which has been maintained over the last year.

4.3	<b>LOOKED AFTER CHILDREN REDUCTION EXPECTATIONS - 6 MONTH UPDATE</b>
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RP noted the update as at end of September, which demonstrates the work that is underway. Business Cases are progressing to develop provision within the County.

Out of County placements have slightly increased and remain a concern.

Supported lodgings co-ordinator post was appointed to at the end of December as was a residential development manager - both posts will help in moving this area forward.

PH noted the service has stabilised the position and it had plans in place to address this. SP noted the positive impact of SOS framework, and keeping children safer at home, instead of bringing into care. AD noted across Wales, have seen a slight increase, but are pleased with the progress and stability in Powys. WG will look to

undertake a 1yr review of LAC Reduction Expectations, and Wales HOS are finalising their action plan around this.

Board recognised the plan the local authority has and are implementing, which was as set out to WG in the review meeting undertaken.

Rate per 10,000 population: welsh average is 108, Powys are 97. Discussion on demographics and comparator local authorities, noting Powys has a clear framework and action plan which should then show a reduction over future months and years.

SP provided live examples of young people this week, who the service have supported through SOS, showing a change of culture and positive attitude of staff. AB outlined live example of work that is underway to support a young person out of county, with a proposal from the service to provide the provision within Powys, and also at a lower cost.

Digital funding through Public Health Wales: bids have been made by the service, via the Senior Manager for signs of wellbeing, which is a result of their positive and energetic commitment to SOS. RP noted the previous funding from WG has enabled the service to progress and implement SOS, which was appreciated.

The service was due to launch a Questionnaire on SOS.

**ACTION: outcome of questionnaire to be tabled at future Board – April 2020.**

4.4	<b>CIW MONITORING OUTCOME - CHILDREN'S SERVICES NOV 2019</b>
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Circulated previously via email. Meeting with CAFCASS has been rescheduled.

Workstream set up which meets regularly and action plan in place. QA undertaken prior to the monitoring visit.

Board noted the report states there are significant vacancies identified and were advised that these are hard to fill posts, and are currently covered by agency staff, and included within recruitment campaign.

4.5	<b>CIW FEEDBACK FROM THEMATIC REVIEW OF OLDER PEOPLES' SERVICES</b>
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Feedback letter has been formed from a self-evaluation initially undertaken in December 2018, a workshop with CIW and Partners in late summer, and contacts with residents by CIW. AB advised it was a balanced report, where areas of concern are known about and the service are taking forward.

Abandoned calls: service have undertaken an analysis on abandoned calls and call waiting, which shows that calls are now answered in approx. 50 seconds, compared to 6 minutes previously.

Transport (under prevention): an area which needs to be looked at corporately to optimise the use of transport resources across the county. PTHB have provided funding to volunteer bureaus to support residents in attending hospital appointments, community facilities.

4.6	<b>IPC SUMMARY REPORT - RIGHT-SIZING POWYS</b>
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JS and PH declared an interest as associates of IPC.

Work being led by Age Well Partnership Board (a sub-group of the RPB), which has assisted in bringing partners together.

Board was advised that Swansea Council has recently commissioned IPC to undertake similar work, and the Chair of Age Well is due to meet with Swansea to agree a spec on future piece of work.

Board noted this important piece of work, and supported the model and outcomes identified. AB noted that the report has been through Cross Cutting Resource Group of RPB, and there is now full engagement from PTHB Director and local operational lead.

Board noted this report will form part of the discussion at the planned workshop on 30 January 2020.

5.	<b>BREAK - (05 MINUTES)</b>
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6.	<b>CORPORATE LEADERSHIP AND GOVERNANCE - VERBAL UPDATE</b>
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NY shared a document with the Board which articulates the Council's vision for transformation under the Vision 2025 Corporate Improvement Plan. She explained that a session with the top 4 tiers of managers in the Council had been held on 8 January to update managers on the Council's financial position and the individual programmes in the transformation programme. The event had been well attended, including by the WAO and the Chief Executive of PAVO had chaired a session. LW confirmed that the WAO would be conducting a review of the Council's Transformation Programme in quarter 4 of 2019-20 and the field work would start in February.

6.1	<b>BUSINESS INTELLIGENCE &amp; TRANSFORMATION CAPACITY</b>
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Board noted the successful bid for funding from WG of £909k over three financial years, specifically to fast track the customer centred digital solutions and information excellence workstreams. An Outline Business Case would be submitted to Finance before the end of the financial year and the Strategic Case had been approved by Finance already.

Themes are outlined in 3.1 of the report: customer centered digital solutions; digital places; information excellence; digital workforce; and digital infrastructure & system.

Governance of the programme outlined, Programme Board is chaired by NY and reports to the Transformation Delivery Board. A Delivery Board sits underneath the programme board to focus on implementation plans.

There has been difficulty in recruiting web developers in Powys, however have recently appointed x 2 temporary web developers with the Welsh Government funding and there is a clear programme in place with targets to delivery at pace.

Recruitment to x2 business analysis posts in hand to support schools' transformation and wellbeing information bank.

WG have allocated £2.4m to spend on schools' digital infrastructure, as part of a four-year programme to improve structure and capability within schools. The first-year timescales are tight with a need to have procured and implemented plan by September 2020.

ASSIST telephony: multi team and action plan in place to deliver improvements, and business case to look at alternatives.

Digital workforce: improve skills of our workforce using applications.

NY confirmed the programme was on track to deliver within agreed timescales.

**ACTION: Update to be tabled at April Board meeting (NY).**

Board supported the report tabled, noting that digital places would help to support people in their own homes.

GB thanked the Digital Programme Board for attracting the funding and for the drive in taking this forward, which will result in benefits for staff but also for citizens of Powys.

6.2	<b>WORKFORCE UPDATE - STANDING ITEM</b>
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**ACTION: HH circulate update report which was tabled at 19 December meeting**

Currently there are 35 agency staff working in children's service, there are issues in north of county where agency staff left before Christmas so figure may increase but not beyond 38.

Vacancies: 32 qualified social worker posts, previously 39, where 7 have been recruited to but not started in post

Looking to map the vacancies against the 4 areas of:- market supplement; improved recruitment campaign and attending career events; growing our own; and overseas recruitment.

Market supplement will be implemented from April 2020 subject to Cabinet's approval in March 2020.

New video campaigns have been completed and will be shared with the Board on 29 January.

Booked to attend career events in Birmingham and Manchester in 2020.

Finalising the "growing our own", and then look at how to develop longer term.

**ACTION: full update will be provided at 27 January Board (NY)**

Board welcomed the update, noting the clear plan in place and recognising this is a long-term approach.

Permanent staff in children's services are said to be becoming ambassadors for the service, to help attract future staff to the service which is positive.

**ACTION: Supervision update to be included in next month's workforce update as detailed in section 4 of the minutes.**

<b>7. FINANCIAL OVERVIEW AND FORECAST - VERBAL UPDATE</b>
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In year position, as at end of November 2019, outturn forecast assuming all savings delivered as expected, shows a surplus of £612k. This is based on achieved £14m savings by November 30<sup>th</sup>, and further savings expected to deliver of £2.37m by end of financial year. There is still £5.3m of undelivered savings, however the surplus is created by short term savings realised during the year.

Adult Services: forecast overspend of £526k, hoping to bring back in balance end of year subject to winter pressures.

Childrens Services: forecast overspend of £4.9m, largely a consequence of placement costs the risk of which was identified at the start of the year and service sought to mitigate, but it had not proved possible in this timescale.

WG settlement more favourable, 5+% in gross terms, however after transfers in and teachers pay and pensions the increase was equivalent to 2.9% for Powys on current base. Council has identified £12.2m budget reductions to be delivered in 2020-21, and with the settlement and pressures, will be putting proposed balanced budget for Cabinet on 21 January. This will then go through scrutiny process, and final budget to Council on 28 February. Final settlement is due 25 February, but no significant amends are expected. Council tax approval will be sought from Council on 06 March.

Change of service delivery contributing to savings/position of the Council – this will be seen over a few years, with the transformation of the service in Adults and Children's Services. Use of data will also assist the Council in future planning, which is starting to be added to IBPs to help the service plan provision and budget setting on outcome-based model.

**AGREED: budget planning, impact assessments etc to be tabled at next Board meeting – 1hr dedicated session.**

Leader noted the need to look at all avenues of funding, pilots etc, and ensure funding of provision is appropriate and proportioned across the local authority and partners.

<b>8. DATES OF FUTURE MEETINGS AND FORWARD WORK PROGRAMME</b>
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HH provided update on work programme for January to April 2020, and **ACTION: will circulate updated version with the minutes.**

Future meeting dates noted.

**Jack Straw, Chair**

## Delegated Decision List

22 January	Portfolio Holder for Education and Property	Approved the appointment of school governors Mr J Milsom Gladestry CiW School and County Councillor P Davies Ysgol Dyffryn Trannon.
24 January	Portfolio Holder for Finance, Countryside and Transport	Determined applications for charitable and hardship rate relief.
31 January	Portfolio Holder for Education and Property	Gave approval for the Council to enter into contract directly with Architype, WSP, Graham Frecknall Architects and Asbri Planning to facilitate the completion of RIBA 4 stage design for Ysgol Gymraeg y Trallwng.
4 February	Portfolio Holder for Finance Countryside and Transport	Approved a budget virement topping up the capital bids allocation for 2020/21 by £65,000 from the unallocated capital budget for 2019/20.
4 February	Portfolio Holder for Education and Property	Approved the appointment of County Councillor Lucy Roberts to the governing body of Llanfyllin High School.
4 February	Portfolio Holder for Economic Development, Housing and Regulatory Services	Approved the purchase of properties in Newtown and Welshpool to increase the portfolio of housing stock.

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



Cabinet / Delegat	Cabinet/EMT	Date	Title	Portfolio Holder	Lead	Decision Maker
28/02/20			Ask and Act Policy for the National Training Framework for VAWDASV	Councillor Myfanwy Catherine Alexander	Joanna Harris	Portfolio Holder
28/02/20			Emotional Wellbeing and Youth Support Update	Councillor Rachel Powell	Jo Hughes	Portfolio Holder
03/03/20	18/02/20		HRA Business Plan	Councillor James Evans	Dafydd Evans	Cabinet
03/03/20	20/02/20		Revised protocol for authorising motorsports events under section 33 of the Road Traffic Act 1988	Councillor Aled Davies	Sian Barnes	Cabinet
03/03/20	18/02/20		Budget Outturn as at 31 January	Councillor Aled Davies	Jane Thomas	Cabinet
03/03/20	20/02/20		Welshpool Church in Wales School - updated business case	Councillor Phyl Davies	Betsan Ifan	Cabinet
03/03/20	20/02/20		Merger of Ladywell Green Infants School and Hafren CP Junior School - Objections Report	Councillor Phyl Davies	Marianne Evans	Cabinet
03/03/20	18/02/20		Capital Programme Update as at 31 January	Councillor Aled Davies	Jane Thomas	Cabinet
03/03/20	20/02/20		Child Exploitation Paper and Programme of Work	Councillor Rachel Powell	Audrey Somerton-Edwards	Cabinet
03/03/20	18/02/20		Early Help Hubs	Councillor Rachel Powell	Emma Peace	Cabinet
03/03/20	18/02/20		Children First Project	Councillor Rachel Powell	Jo Hughes	Cabinet
03/03/20	18/02/20		Tri Funding Application	Councillor James Evans	Jenni Thomas	Cabinet
03/03/20	18/02/20		Business Rates - High Street and Retail Relief 2020-21	Councillor Aled Davies	Andrew Griffiths	Cabinet
03/03/20	20/02/20		Strategic Outline Case - New Cedewain School	Councillor Phyl Davies	Marianne Evans	Cabinet
24/03/20	10/03/20		Corporate Asset Policy Review	Councillor Phyl Davies	David Micah	Cabinet
24/03/20	10/03/20		Budget Outturn as at 29 February	Councillor Aled Davies	Jane Thomas	Cabinet
24/03/20	10/03/20		Capital Programme Update as at 29 February	Councillor Aled Davies	Jane Thomas	Cabinet
24/03/20	10/03/20		Schools Major Improvement Programme	Councillor Phyl Davies	Lynne Morris	Cabinet
24/03/20	20/02/20		Corporate Improvement Plan Update 2020	Councillor Rosemarie Harris	Emma Palmer	Cabinet

24/03/20	10/03/20	Education Interim Leadership Arrangements		Caroline Turner	Cabinet
24/03/20	10/03/20	Kerbside Recycling Enforcement	Councillor Heulwen Hulme	Ashley Collins	Cabinet
24/03/20		Highways Capital	Councillor Heulwen Hulme	Shaun James	Portfolio Holder
24/03/20	10/03/20	ECO Flex Statement of Intent	Councillor James Evans	Julian Preece	Cabinet
24/03/20	10/03/20	Growth Deal – Proposition Document	Councillor Rosemarie Harris	Caroline Turner	Cabinet
31/03/20		Review of landowner grants for installing gates on public paths	Councillor Aled Davies	Sian Barnes	Portfolio Holder
31/03/20		Review of Commons Registration fees and charges	Councillor Aled Davies	Sian Barnes	Portfolio Holder
07/04/20	31/03/20	Stage 2 of Strategic Review of Schools - Final Vision and Implementation Plan	Councillor Phyl Davies	Marianne Evans	Cabinet
21/04/20	31/03/20	Fostering & Special Guardianship Orders	Councillor Rachel Powell	Kathryn Brooks	Cabinet
21/04/20	31/03/20	Children's Services Workforce Development - grow our own social workers	Councillor Rachel Powell	Audrey Somerton-Edwards	Cabinet
21/04/20	07/04/20	Children's Services Early Help Strategy	Councillor Rachel Powell	Karen Sharp	Cabinet
12/05/20	28/04/20	Regional Technical Statement - Minerals	Councillor James Evans	Peter Morris	Cabinet
12/05/20	28/04/20	Quarter 4 Performance Report	Councillor Rosemarie Harris	Garry Hudson	Cabinet
12/05/20	28/04/20	Treasury Management Quarter 4 Report	Councillor Aled Davies	Ann Owen	Cabinet
12/05/20	28/04/20	Strategic Risk Register Quarter 4 report	Councillor Graham Charles Breeze	Bets Ingram	Cabinet
02/06/20	19/05/20	Budget Outturn as at 31 March 2020	Councillor Aled Davies	Jane Thomas	Cabinet
02/06/20	19/05/20	Relaunch of Children's Services Front Door	Councillor Rachel Powell	Karen Sharp	Cabinet

		Children's Services Intervention & Prevention			
02/06/20	19/05/20	Update	Councillor Rachel Powell	Stephen Pearce	Cabinet
02/06/20	19/05/20	Returning Children Closer to Home	Councillor Rachel Powell	Kathryn Brooks	Cabinet
02/06/20	19/05/20	Children's Services Short Breaks	Councillor Rachel Powell	Kathryn Brooks	Cabinet
02/06/20	19/05/20	Supported Accommodation 16+	Councillor Rachel Powell	Kathryn Brooks	Cabinet
02/06/20	19/05/20	Participation with children and young people	Councillor Rachel Powell	Joanna Harris	Cabinet
02/06/20	19/05/20	Support to Care Leavers	Councillor Rachel Powell	Kathryn Brooks	Cabinet
02/06/20	19/05/20	Blue Badge Concessions	Councillor Heulwen Hulme		Cabinet
		Evaluation of the impact of the roll out of full			
23/06/20	09/06/20	service universal credit on HRA rent arrears	Councillor James Evans	Dafydd Evans	Cabinet
23/06/20	09/06/20	Director of Social Services Annual Report		Alison Bulman	Cabinet
		Welsh in Education Strategic Plan (Draft for			
23/06/20	09/06/20	Consultation)	Councillor Phyl Davies		Cabinet
		Ysgol Gymraeg y Trallwng new build - revised			
23/06/20	09/06/20	budget following Dawnus collapse	Councillor Phyl Davies	Marianne Evans	Cabinet
		Ysgol Bro Hyddgen - revised Outline Business			
23/06/20	09/06/20	Case	Councillor Phyl Davies	Marianne Evans	Cabinet
		Ysgol Brynllwarch new build - Strategic Outline			
23/06/20	09/06/20	Case	Councillor Phyl Davies	Marianne Evans	Cabinet
		Strategic Equality Plan Monitoring Report			
23/06/20	09/06/20	2019/20	Councillor Graham Charles Breeze	Emma Palmer	Cabinet
		Corporate Safeguarding Group – 6 month Update	Councillor Myfanwy Catherine Alexander	Alison Bulman	Cabinet
14/07/20	30/06/20	Children's Services Journey of Transformation	Councillor Rachel Powell	Jan Coles	Cabinet

14/07/20	30/06/20	Child Exploitation Prevention Strategy	Councillor Rachel Powell	Audrey Somerton-Edwards	Cabinet
14/07/20	30/06/20	Children's Services Participation & MOMO	Councillor Rachel Powell	Audrey Somerton-Edwards	Cabinet
14/07/20	30/06/20	Children's Services Practice Standards	Councillor Rachel Powell	Audrey Somerton-Edwards	Cabinet
14/07/20	30/06/20	Statutory plan for implementation of the Council's biodiversity duty	Councillor Aled Davies	Emma Guy	Cabinet
14/07/20	30/06/20	Vision 2025 Corporate Improvement Plan Annual Performance Report 2019/20	Councillor Rosemarie Harris	Emma Palmer	Cabinet
28/07/20	14/07/20	Treasury Management Quarter 1 Report	Councillor Aled Davies	Ann Owen	Cabinet
28/07/20	21/07/20	Quarter 1 Performance Report	Councillor Rosemarie Harris	Emma Palmer	Cabinet
28/07/20	14/07/20	Strategic Risk Register Quarter 1 Report	Councillor Graham Charles Breeze	Bets Ingram	Cabinet
15/09/20	01/09/20	Budget Outturn June & July 2020	Councillor Aled Davies	Jane Thomas	Cabinet
15/09/20		Flood Risk Management Plan	Councillor Heulwen Hulme	Alastair Knox	Portfolio Holder
06/10/20	22/09/20	Budget Outturn as at 31 August 2020	Councillor Aled Davies	Jane Thomas	Cabinet
06/10/20	22/09/20	Adoption	Councillor Rachel Powell	Kathryn Brooks	Cabinet
06/10/20	22/09/20	EDT - Out of Hours Services	Councillor Rachel Powell	Karen Sharp	Cabinet
06/10/20	22/09/20	Extra Care	Councillor Myfanwy Catherine Alexander	Dylan Owen	Cabinet
03/11/20	20/10/20	Treasury Management Quarter 2 Report	Councillor Aled Davies	Ann Owen	Cabinet
03/11/20	20/10/20	Budget Outturn as at 30 September 2020	Councillor Aled Davies	Jane Thomas	Cabinet
03/11/20	20/10/20	Quarter 2 Performance Report	Councillor Rosemarie Harris	Emma Palmer	Cabinet

03/11/20	20/10/20 Winter Plan	Councillor Heulwen Hulme	Shaun James	Cabinet
03/11/20	20/10/20 Welsh in Education Strategic Plan FINAL	Councillor Phyl Davies	Marianne Evans	Cabinet
03/11/20	20/10/20 Strategic Risk Register Quarter 2 Report	Councillor Graham Charles Breeze	Bets Ingram	Cabinet
24/11/20	10/11/20 Budget Outturn as at 31 October 2020	Councillor Aled Davies	Jane Thomas	Cabinet
24/11/20	10/11/20 Council Tax Base	Councillor Aled Davies	David Morris	Cabinet
15/12/20	01/12/20 Budget Outturn as at 30 November 2020	Councillor Aled Davies	Jane Thomas	Cabinet
09/02/21	26/01/21 Quarter 3 Performance Report	Councillor Rosemarie Harris	Emma Palmer	Cabinet
09/02/21	26/01/21 Strategic Risk Register Quarter 3 Report	Councillor Graham Charles Breeze	Bets Ingram	Cabinet
11/05/21	27/04/21 Quarter 4 Performance Report	Councillor Rosemarie Harris	Emma Palmer	Cabinet
11/05/21	27/04/21 Strategic Risk Register Quarter 4 report	Councillor Graham Charles Breeze	Bets Ingram	Cabinet

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