

Pwyllgor Craffu Iechyd a Gofal

Man Cyfarfod
By Zoom

Dyddiad y Cyfarfod
Dydd Iau, 15 Rhagfyr 2022

Amser y Cyfarfod
10.00 am

I gael rhagor o wybodaeth cysylltwch â
Wyn Richards
Rheolwr Craffu a Phennaeth
Gwasanaethau Democrataidd
wyn.richards@powys.gov.uk



Neuadd Y Sir
Llandrindod
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LD1 5LG

Dyddiad Cyhoeddi

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

AGENDA

1.	YMDDIHEURIADAU
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Derbyn ymddiheuriadau am absenoldeb.

2.	DATGANIADAU O DDIDDORDEB
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Derbyn datganiadau o ddiddordeb gan Aelodau.

3.	DATGANIAD O CHWIPIAU PLAID
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Derbyn datganiadau ynglyn â gwaharddiad chwip plaid a gyflwynwyd i Aelod mewn perthynas â'r cyfarfod yn unol ag Adran 78 (3) Mesur Llywodraeth Leol 2001.

(D.S: atgoffir yr Aelodau, dan Adran 78, na all Aelodau sydd wedi derbyn gwaharddiad chwip plaid bleidleisio ar fater gerbron y Pwyllgor.

4.	COFNODION
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Awdurdodi'r Cadeirydd i lofnodi cofnodion y cyfarfodydd diwethaf fel cofnod cywir.

25-07-2022

07-10-2022

(Tudalennau 1 - 22)

5.	CHWARTER 2 - PERFFORMIAD, CYLLID A RISG 2022-23
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5.1. Adroddiad Perfformiad Chwarter 2

Mae'r Pro-Forma Craffu wedi'i atodi.

Isod mae'r ddolen i'r Adroddiad Perfformiad.

[Adroddiad Perfformiad](#)
(Tudalennau 23 - 24)

5.2. Adroddiad Cyllid Chwarter 2

Derbyn ac ystyried adroddiad yr Aelod Cabinet ar gyfer Cyllid a Chyllid Thrawsnewid Corfforaethol.

(Tudalennau 25 - 52)

5.3. Adroddiad Risg Chwarter 2

Derbyn ac ystyried adroddiad yr Aelod Cabinet ar gyfer Cyllid a Thrawnewid Corfforaethol.

(Tudalennau 53 - 86)

6.	ADRODDIADAU'R GWEITHGOR
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Derbyn ac ystyried yr adborth gan y Gweithgor Rhyddhau Cleifion o Ysbytai a gynhaliwyd ar 9 Rhagfyr 2022.

7.	RHAGLEN WAITH
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Nodi Blaenraglen Waith y Pwyllgor.
(Tudalennau 87 - 88)

Myfyrdod y Pwyllgor

Ar ol i'r cyfarfod dod i ben, gofynnir i'r Pwyllgor gymryd 5 i 10 munud i fyfrio ar y cyfarfod heddiw.

MINUTES OF A MEETING OF THE HEALTH AND CARE SCRUTINY COMMITTEE HELD AT BY ZOOM ON MONDAY, 25 JULY 2022

PRESENT: County Councillor A Jenner (Chair)
County Councillors B Breeze, J Ewing, G E Jones, G Preston, L Rijnenberg,
C Robinson, C Walsh, J Wilkinson, G Morgan and C Kenyon-Wade

Cabinet Portfolio Holders In Attendance: S Cox (Cabinet Member for a Caring Powys),
S C Davies and S McNicholas (Cabinet Member for Future Generations)

Officers: Jan Coles (Head of Children's Services), Michael Gray (Head of Adult Services), Lynette Lovell (Director of Education and Children), Nina Davies (Director of Social Services and Housing), Nigel Brinn (Corporate Director - Economy and Environment), Neil Clutton (Professional Lead - Strategic Property) and Rachel Evans (Commissioning and Partnerships)

1. APOLOGIES

An apology for absence was received from County Councillor E Roderick.

2. DECLARATIONS OF INTEREST

There were no Declarations of Interest from Members relating to items to be considered on the agenda.

3. DISCLOSURE OF PARTY WHIPS

The Committee did not receive any disclosures of prohibited party whips which a Member had been given in relation to the meeting in accordance with Section 78(3) of the Local Government Measure 2011.

4. MINUTES

The Chair was authorised to sign the minutes of the previous meetings held on 2 March 2022 and 29 June 2022 as correct records.

5. ANNUAL REPORT OF THE DIRECTOR OF SOCIAL SERVICES

Documents Considered:

- Annual Report of the Director of Social Services.

Issues Discussed:

- The report had been compiled by the former Director who has recently left the Council and was for the period April 2021 to March 2022.
- One of the ongoing themes was the continued impact of the Covid pandemic and increased demand as well as delays in residents accessing treatment.
- This had an impact on staff in terms of recruitment and retention.
- Whilst the Service had come out of business continuity on 16 May 2022 but the pressures which had existed to that point remained and were exacerbated due to the cost of living increases and the impact on the war

in Ukraine on the economy. This has not only affected Council services but also service providers.

- Questions:

Question	Response
Can you provide an update on the pressures for providers in recruiting staff particularly in Domiciliary Care and where are the challenges.	The most significant pressures are around recruitment and retention. Feedback from external providers is that staff are feeling fatigued, and as covid has eased, staff have chosen to be recruited to work in other sectors which has been a significant pressure on the market. Work has been undertaken with the sector around innovative ideas to see how we can support these organisations, attracting people into the sector, provide electric vehicles, and support with fuel pressures. Whilst things have relatively stabilised this is still a significant pressure and the Service is continuing to work with the sector
Is this a national pressure	It is, but the pressure is seen more significantly in Powys due to rurality of the county. There is anecdotal information that staff are feeling that it is not affordable to work in that profession.
Do carers get paid for their travelling time and how much are they paid per mile.	Yes they are paid for travelling time as part of the Powys pledge introduced last year. The pledge is a mechanism where organisations sign up to improve the terms and conditions of the workforce and part of that is to pay for travelling costs. The travel costs are currently 35p per mile. Most organisations are signed up to the silver pledge at the moment. The Gold pledge is being presented to Cabinet to request an increase to 45p per mile which is the HMRC rate. The 45p also provides parity with internal staff rates.
Morale is very low and we are losing staff due to mileage rates and hours of working. It is of concern that we will lose staff. What else is being done within the workforce to ensure staff well-being is being considered and are there any other schemes or programmes being considered. Could we use two carers travelling together in an area which could save on mileage and reduce the	The morale in the sector is generally is very low and this is supported by feedback from the sector. There has also been a significant reliance on agency staff. One of the strengths coming out of the pandemic is a better partnership approach between organisations, although pressures are still being felt. Work has been undertaken to consolidate runs and

<p>stress of staff.</p>	<p>rationalise where possible to reduce travelling costs. Longer term we have the Social Care Academy which will help the workforce in future.</p> <p>The work being undertaken now on the Powys pledge, reducing fuel costs and other ways to support the sector are things we need to do immediately.</p> <p>The proposal to Cabinet is to increase mileage rates to 45p to be reviewed in 12 months' time. There are some things which the Council can do locally but we are also dependent on decisions taken nationally. The Council is very mindful of the effects of last two years on staff and are trying to stabilise the market but this is a national issue but exacerbated in Powys due to the rurality and the costs of travel.</p>
<p>Do we still have schemes set up to signpost staff to support services such as the PTHB Silver Cloud and mental health support i.e. a well-being hub for internal staff.</p>	<p>Support is available to staff across the whole of the Council.</p> <p>There is the corporate well-being offer (Care First) available to all staff for general well-being support as well as counselling services. In care services there are some bespoke well-being support services such as mindfulness. The cost of living and recruitment and retention has been recognised as a corporate risk.</p> <p>There are wider discussions at a corporate level about addressing these issues which might include a market comparison exercise comparing pay and conditions against other Welsh authorities. In terms of cost of living consideration is being given to whether staff can claim expenses back sooner given the increase in fuel costs.</p>
<p>Do staff get paid for travelling time as well as mileage</p>	<p>Yes but not for the commute to work.</p> <p>In terms of well-being roadshows have been undertaken to meet staff. One of the key aspects highlighted was around the ways of working. Staff are finding working from home increasingly more isolating and difficult. There is a need to consider how these services work in</p>

	<p>future so staff have opportunities to be working together more and have access to senior staff for advice. Therefore a more agile working arrangement is required which mean staff can get together as well.</p> <p>Appraisals are important for staff as well as team meetings, one to one's and support and supervision for new staff. Mindfulness sessions will be ongoing. The Directors assured the Committee that they will be engaging and listening to staff and this is a priority.</p>
<p>Are the staff forums, roadshows or face to face</p>	<p>The employee representatives group meets every 6 weeks and every team is asked to send a representative. We try to avoid managers coming as they have other opportunities to speak to senior managers so we seek people from all levels of the organisation. There is an opportunity for the group to raise issues and talk about problems and also solutions and share good practice as well as having the opportunity to speak to Directors and Heads of Service.</p>
<p>Is there anything in the report you would wish to highlight to Councillors in respect of Children's Services for example placements and in particular residential placements. How have things moved over the year and are we in an improving position.</p>	<p>There are three key pressures on the service namely increased demand, deficit in workforce availability and placements.</p> <p>The placements situation across the UK is still difficult as there are not enough places. Work has been undertaken with regulators and also working to try and address the deficit in the numbers of places over the past few years. We are making progress and we have a children's home in the South and have purchased a property in the North. Also, additional properties have been allocated to the Service from Housing to set up new children's homes which will help long term but will take time to implement.</p> <p>A property in the South is being prepared for one young person coming out of a specific placement. However, it will not meet CIW requirements currently as it does not have a fire suppression system which is causing a delay.</p>

	<p>We also have children in the wrong placements which does not work for the child, staff and the community where the young person is living. Members are asked to support the approach as there is no other way as we have seen the impact when the Council is at the mercy of the market. There will be an improvement in the numbers of looked after children and capacity next year as work comes to a fruition.</p>
<p>In respect of Child Protection figures there has been a huge increase in numbers between April 2021 to March 2022 of over 65%. Is this trend continuing this year and are we seeing the same level of increase. What does that look like now and the impact on staffing and the risks.</p>	<p>There has been a big increase in child protection numbers. We have put in some senior management oversight of this area of work to keep this under review. On the whole the ratios of where work is going has remained the same. However, we do not want children on the child protection register unless they need to be there as that has an impact on staff.</p> <p>A child goes onto the register following a multi agency panel decision. Once a child is on the register there is much for the Service to do to keep the child safe and this is where risk is most heightened. This can include supporting families to make changes so that the child can stay with their family.</p> <p>There is senior management oversight of decisions undertaken. A review of how statutory agencies are working together is being undertaken currently. We are also asking multi agency professionals to consider the risk and resources available and whether we can work with families at the lowest level possible. Whilst demand has increased this has not translated into increased numbers of children on the register.</p>
<p>Do the difficulties faced in Children's Services increase the level of risk to which children are exposed. Are we at the capacity of what we can handle.</p>	<p>We have been in that position where things have been critical and a summit was held in March between managers and the Director to look at risk and resources and what we can do to manage the risk within available resources. We have been in this crisis situation for some months.</p>

	<p>We looked at the way things could be changed, drawn down covid pressure resources, and increased capacity in the teams. We set in place the 3R's plan and we are in a recovery phase and have been reshaping and things are going to plan but there are a number of positions in the service which are funded temporarily for what we hoped would be a temporary increase in demand. As the increase demand has continued, we are now looking at how the service can be reshaped, as demand is unrelenting at the front door. We are reviewing whether we have the capacity in the right place within the service and what else we need to do. A paper to scrutiny and Cabinet will set this out.</p> <p>We have looked at every possible option to stretch the resource within the service in both Childrens and Adults Services and where possible and bring in temporary support or managed services. It is not a matter of insufficient funding but insufficient qualified staff professionally and domiciliary care staff nationally.</p> <p>The Chief Executive commended the Head of Childrens Services for her contribution in stabilising and leading the Service since joining the Council.</p>
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Outcomes:

- **Report noted.**
- **Is the comparison exercise with other Councils is undertaken could scrutiny see the final report on the exercise.**
- **The Committee asked for a Member Development Session in relation to the Adults and Childrens budget.**

6.	NORTH POWYS WELL-BEING PROGRAMME
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Documents Considered:

- Presentation by Sali Campbell from PTHB.

Issues Discussed:

- In 2018 Welsh Government invited significant bids from Partnership Board which would enable integrated health and social care services in Wales.

- Based on the data showing the greatest need and distance to services Newtown was selected as a hub for the North of the county.
- This is a health and well-being hub which will provide more day services than are currently available. It also aims to reduce travelling for customers who otherwise would have to go to hospitals in Shropshire.
- This would integrate health and social care and introduce a new model of care which is being developed.
- This is not a new hospital but will provide an enhanced level of diagnostic services than currently available, more day facilities for treatment than is currently possible.
- Other facilities are planned to be on the same site such as the primary school. A new library will also be built as part of the new facility. Supported living was to have been provided but that is available now elsewhere in Newtown.
- Questions:

Question	Response
What are the Powys Together sessions focussed on.	They are focussed on early help and low level intervention. The focus is on reducing the need for statutory services.
One question raised previously about the site is how safeguarding will be assured in terms of the location of the school and also services.	The school will be designed in accordance with normal practice with safeguarding built into the project so will be fully secured with fencing in place. This will be incorporated into the wider planning proposal.
Dafydd Llwyd is shown on the plan but the school moved some years ago	Yes it is correct that Dafydd Llwyd moved to a new building some years ago. The building has been used recently for the integrated family centre for Newtown and also partially for Childrens Services.
What is the purpose and scope of the Academy and what's going to happen to the library, as it's Powys' best library.	In relation to the Academy, the Academy seeks to 'grow our own' workforce and offer in house, education, support and training to upskill and recruit staff. Ongoing conversations are being held with the college about how the Academy can complement what the college is providing. There is an Academy just opened in Bronllys and this is about development of the future workforce. This will be a satellite to Bronllys in Newtown and we are looking how we further train staff with Aberystwyth University.
What will happen to the library. Will it remain as it is or will it provide books for this learning.	The current library will be replaced by a new facility which is more integrated with the school and the Academy.
This is a really inspiring project. How might this project be linked or connected	The RSP will be involved with the Academy as the project progresses and

<p>to the Regional Skills Partnership.</p>	<p>the Academy will also link in with the wider skills programme in the region.</p>
<p>How does the health and care provision proposed for this site compare to those delivered at Glan Irfon in Builth Wells. Some individuals in the area are not impressed with the services offered from Glan Irfon.</p>	<p>There is a focus on learning from elsewhere both internally and externally, which is going through an approval mechanism focussing on the external. We have also been focussed on internal learning looking at examples such as Glan Irfon and the integrated care teams in Ystradgynlais and what can be learned from those projects.</p> <p>What is proposed for Newtown by comparison to Glan Irfon is focussing on getting the service delivery right before anything is built and people brought together for the facility. Also learning lessons from the past.</p>
<p>When we deliver new or integrated services they are fine when you have the expertise to deliver them. The problem arises when you lose some of those skills and those services cannot be re-delivered. Is skills enhancements and succession planning being considered for the future by the council and PTHB.</p>	<p>The workforce futures programme operating between the Council and PTHB is trying to address these issues and trying to address issues about recruitment and retention currently by removing barriers and in the future.</p> <p>There are also good examples of integrated health care facilities in the UK and Wales such as the ones in Aberaeron and Cardigan.</p>
<p>As this grows how will this be the North Powys Hub and not just the Newtown hub and how services reach into North Powys. Have there been discussions in terms of working streams.</p>	<p>If we are bringing services to Newtown rather than people have to travel out of the county for services that will be good. Transport will feature in discussions in the future as well.</p> <p>A travel times analysis is to be undertaken by PTHB, which will show the distance individuals currently travel to access services and the cost of that. Then we need to look at where people need to travel to access the service quicker such as Aberystwyth from Machynlleth or go to Newtown. The offer is about delivering services for all of North Powys not just Newtown. The Newtown element is the third sector community hub aspect where the community helped to shape that. The campus is a North Powys offer.</p>
<p>It is important that people do not have to travel long distances to see consultants. The concern is that services delivered</p>	<p>The fine detail has not been agreed as yet and what services are to be provided from Newtown and when services are</p>

locally at community hospitals will not be relocated to Newtown once the facility opens.	determined that is when engagement needs to occur.
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Outcomes:

- **Presentation Noted.**
- **The Committee will need to focus on where it can have the best focus such as on collaborative work.**
- **The Committee could also consider establishing a Working Group to look at this work in future.**
- **Add the scrutiny of the Health Academy to the Committee’s Forward Work Programme.**
- **If the lessons learned exercise has been completed can this be included in an future presentation to the Committee.**

7.	WORKING GROUPS
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The Committee considered establishing the following Working Groups:

North Powys Well-Being Hub:

The following Members indicated an interest in this Working Group:
County Councillors G Preston, G Jones

Children’s Services:

The following Members indicated an interest in this Working Group:
County Councillors G Jones, L Rijnenberg, J Wilkinson, B Breeze, J Ewing

Adults Services:

The following Members indicated an interest in this Working Group:
County Councillors C Robinson, G Preston, G Morgan, C Walsh, J Ewing.

The Chair indicated that she would be involved in both the Childrens and Adults Working Groups. The Chair asked if Members could advise her and the Scrutiny Officer of their interest in sitting on a working group by 5th August, 2022.

8.	WORK PROGRAMME
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Documents Considered:

- None.

Issues Discussed:

- The Committee suggested that the following items be added to the Forward Work Programme for consideration:
 - Working Group – North Powys Well-Being Project
 - Review of Travelling Rates for carers.
 - Learning from previous projects e.g. Glan Irfon included in next North Powys Well-Being Project presentation.
 - Workforce, Recruitment, Grow your own and retention
 - Self Assessment items.
 - Residential placement figures for children
 - Day Centres.

- Provision for adults with learning difficulties + developmental occupation. Also look at what services are available to adults with learning difficulties. (Adults WG)
- Relationship between front door child protection and numbers of children going into children's services.
- Extra Care Facilities for Adults – also links to older people's facilities. What progress is being made on this.
- Monthly performance reports on Childrens and Adults – to be circulated to Members on Teams for the Committee to comment upon
- Trends over the past few years for the Services – question to Emma Palmer.
- Future development on prescribing art

Outcomes:

- **Draft Work Programme Noted.**
- **Add items to the work programme.**

County Councillor A Jenner (Chair)

Public Document Pack

Health and Care Scrutiny Committee – 07-10-2022

MINUTES OF A MEETING OF THE HEALTH AND CARE SCRUTINY COMMITTEE HELD AT BY ZOOM ON FRIDAY, 7 OCTOBER 2022

PRESENT: County Councillor A Jenner (Chair)
County Councillors B Breeze, G E Jones, G W Ratcliffe, L Rijnenberg, C Robinson,
E Roderick, E Vaughan and C Walsh

Cabinet Portfolio Holders In Attendance: County Councillors S Cox (Cabinet Member for a Caring Powys), S C Davies and S McNicholas (Cabinet Member for Future Generations)

Officers: Michael Gray (Head of Adult Services), Rachel Evans (Interim Head of Commissioning), Sharon Powell (Interim Had of Childrens Services), Steve Holcroft (Policy and Customer Care Manager), and Wyn Richards (Scrutiny Manager and Head of Democratic Services)

1.	APOLOGIES
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Apologies for absence were received from County Councillors C Kenyon-Wade, J Ewing, J Wilkinson and G Preston. Apologies for absence were also received from Lynette Lovell (Director of Education and Children's Services) and Nina Davies (Director of Social Services and Housing).

2.	ELECTION OF VICE-CHAIR
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RESOLVED that County Councillor Gareth E Jones be elected Vice-Chair for the ensuing year.

3.	DECLARATIONS OF INTEREST
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There were no Declarations of Interest from Members relating to items to be considered on the agenda.

4.	DISCLOSURE OF PARTY WHIPS
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The Committee did not receive any disclosures of prohibited party whips which a Member had been given in relation to the meeting in accordance with Section 78(3) of the Local Government Measure 2011.

5.	COMPLAINTS, COMPLIMENTS AND REPRESENTATIONS ANNUAL REPORT 2021-22
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Documents Considered:

- Complaints, Compliments and Representations Annual Report 2021-22.

Issues Discussed:

- It is a statutory requirement to produce an annual report. The approach is based on getting it right first time and if that does not happen to put it right as soon as possible. The use of an advocate is pushed with complainants to assist them reach a resolution to their complaint. There is currently one complaints officer supported by one administrative /support officer.
- The emphasis is on the early intervention / resolution and informal resolution so that complaints do not need to progress to become Stage 1 and 2 investigations.
- The number of complaints has reduced between 2017 and 2022 with Adults Services complaints having reduced by a third.
- Table 4 in the report sets out complaints by themes.
- The time taken to acknowledge and complete reports is due to pressures on the service but is being actively progressed to address this issue. It is now a key performance indicator that acknowledgements are made in two working days.
- There are currently no active Ombudsman investigations during the period although there was an outstanding Ombudsman complaint from 2016 concluded in the period.
- Compliments are generally increasing during the period.
- Services are in a process of continual learning and the team works with quality assessment officers in services, meeting on a monthly basis to identify themes and inform corrective actions and improvements.
- There is also an improvement plan following previous comments by the Ombudsman about the complaints system. This includes the development of a Customer Care Charter which has been published. A review of the procedure has also been undertaken. Alternative formats for documents are being considered e.g. for younger people or people with learning disabilities.
- The Council is attempting to increase the pool of independent investigators who undertake Stage 2 complaints investigations as well as reviewing an alternative complaints system following issues with the current system.
- The Head of Adult Services commented that the feedback loop between the complaints team and operational teams has improved. The way that Services respond to feedback is crucial which is shown by way many complaints are resolved informally due to the mediatory approach by the complaints team. However, although Services are better at responding there is still room for improvement. The Interim Head of Children's Services added that Children's Services are trying to create and adopt a culture of learning seeing complaints as a positive and providing an opportunity to improve the service and practices.
- The Interim Head of Commissioning emphasised the development of the Customer Care Charter, as a direct result of reflecting on themes and the expectations around customer communication. The Charter embodies the expectation from a professional perspective in terms of the required response

and also sets out the expectations from a public perspective. The Charter was co-produced with public involvement.

- Questions:

Question	Response
What is your main focus over the next year on improving the complaints system	Improving on acknowledging complaints and also reducing the time to complete Stage 2 investigations.
Section 3.2 – Team and Resources. It is hoped that a new system will be in place by April 2023. Is there any cost associated with this new system.	There is no cost expected as the software was developed by the Council’s ICT team.
In relation to the section 3.5 administrative support, which had been temporarily increased. Has this additional support come to an end or is it being rolled forward	A request has been made for this to be extended as part of next year’s budget.
When is a complaint judged to be a complaint, do we have to use the word specifically for it to be included as a complaint. What is the benchmark for complaints and compliments. Are verbal complaints or compliments recorded.	With regard to compliments, sometimes we go chasing for them such as if a compliment is made during a telephone call this is recorded with an individual’s consent. Social work teams are also asked whether they have received any complaints or compliments.
How do you differentiate between a complaint and an enquiry	This is done through communication with the individual. If a person says that there are unhappy with a service, the service will say why it took those actions. If the person is still unhappy then it would proceed to become a complaint.
At what point does it become a Stage 1 and 2 complaint. What happens from that point onwards. What training and development or support from managers do staff get to try to reduce complaints and achieve a satisfactory outcome and learn lessons. What do we do about frequent complaints about staff.	Officers would meet with an individual who makes regular complaints to try and understand why the individual makes continual complaints. If an enquiry becomes a complaint the complaints officer will discuss this with the individual. If an individual is unhappy with the response from the service the complaints officer will go back to the service team and ask for an investigation to be initiated. Once the investigating officer confirms the nature and extent of the complaint with the individual that is when the 15 day timeline starts.
Are we recording for the sake of it. How do we deal with staff.	With regard to the question about what constitutes a complaint, we follow the Welsh Government guide to handling complaints and representations by local authorities (2014). This determines how

	<p>the Council sets up its processes. It does not require the use of the word “complaint” for it to be a complaint, it can be an expression of dissatisfaction or concern. It also does not need to be in writing. Complaints are generally around a public service provider’s action or inaction or quality of service as a broad definition.</p> <p>Feedback loops are in place and complaints and compliments are discussed at Senior Management Team meetings. Should a member of staff fall of the expected conduct standards then managers would use performance capability or disciplinary processes.</p> <p>In terms of the culture of learning it is about looking at the themes of complaints an example of which was the level of service provided to fathers where parents have separated and the communication with them. The Service can then consider specific training and development and practice within the service.</p> <p>The guidance defines the differences between complaints, comments etc. Within the guidance there is an emphasis on local resolution to try to resolve dissatisfaction as soon as possible to prevent it becoming a complaint.</p>
<p>Section 4 – graph illustrating the breakdown of figures between services. Has the breakdown between adults and childrens’ complaints changed over the period, have the proportions changed, increased or decreased.</p> <p>It would be helpful if the numbers could be split for future reports.</p>	<p>The number of complaints has stayed relatively the same. The number of complaints increased during the pandemic but they have remained stable since, although there has been a reduction in the number of adults complaints.</p>
<p>There is a long list of compliments but for complaints there is no detail as to what the issues are. The chart on page nine gives high level information. It would be helpful to have more detail about what the complaints are about.</p> <p>The quality of advocates is also</p>	<p>More narrative can be included to provide a better understanding of what people are complaining about. Further work is being undertaken to break this information down further.</p> <p>Local agencies are used by the Council provide advocates. Some advocates</p>

<p>important and it is encouraging that the service is promoting the use of advocates as it can help an individual present a complaint in a balanced way. How do you chose advocates, and what training do they get.</p>	<p>from the NHS are used as well. The agencies are responsible for training advocates.</p> <p>As professionals all Social Care staff are advocates if they have contact with individuals. The Council also has a contracted commissioned service (Dewis) which provides advocacy for adults.</p> <p>There is a specific advocacy for children utilising a contract with Tros Gynnal so every child who is looked after or on the child protection register has an advocate, as well as accessing advocacy services for parents and families who might suffer with mental health difficulties or learning difficulties.</p>
<p>If a child wishes to make a complaint do they know they can do this through an advocate.</p>	<p>Yes they are made aware of this and we do see it happening. We also have independent reviewing officers which is another avenue for a child to express their feelings about the service.</p>
<p>Looking at at the feedback loop and lessons learned. How are required improvements being fed back to the individual, the team and the organisation and ensure that good practice and improvements are followed up to ensure that improvements are made. As the complaint could relate to a number of things are improvements from each complaint noted and then can it be demonstrated that the improvements have been completed.</p>	<p>There are some historical complaints from 2016 to 2018. A programme of work was developed following the Ombudsman investigation and an action plan was developed. Following that the Service reflected upon what had been put in place and the improvements are shared by means of policies and monthly updates. Therefore the feedback loop is well established.</p> <p>As an example complaints officers need to be trained to a sufficient level in representations under the Children’s Act 1989. The Service approached Legal Services to seek better guidance on how to deal with representations as the issue leading to the Ombudsman’s investigation included the Service not recording things correctly when delivering the service. The outcome of the investigation was that the Service should have a legal opinion about how to handling representation which was done and is now in place.</p>
<p>That example from the Ombudsman’s investigation is a good example where there is an action plan which is followed</p>	<p>It does for more serious or complex complaints where an action plan is drawn up. Sometimes it may be a</p>

<p>through. Is this something that happens with all complaints.</p>	<p>communications issue which is then discussed by the complaints officer with the team such as a theme where complainants were not being told what happens next and by when and what an individual can reasonably expect. With the more serious complaints an action plan is used to track outcomes.</p>
<p>Is there a threshold which needs to be met for when a complaint needs an action plan.</p>	<p>An action plan is used where a complaint crosses a number of themes, when there are multiple facets to the complaint or when new issues are raised which the complaints team were unaware of previously.</p>
<p>With regard to section 4.15 - number of days for a stage 2 complaint to be investigated. It is important to investigate quickly and traction can be lost if investigation periods are too long. It is difficult to understand why it takes so long and is an advantage taken of quick wins to learn lessons and make early improvements.</p>	<p>When the investigating officer agrees the nature of a complaint with the complainant, it provides the opportunity for some quick wins whilst other parts of a complaint can take longer to investigate. It is not believed that a long investigation will dilute the learning from complaints.</p> <p>The answer depends on the nature of the complaint and whether it relates to an individual officer, a team, the wider service or whether the complaint is around communication or a lack of service provision. This will determine the response.</p> <p>In general senior managers and the Heads of Service have oversight immediately of a complaint as the Policy and Customer Care Manager attends senior management meetings. What tends to happen is respect of a team approach is that reflective practice sessions would be built around a case and this would be discussed as an example at team meetings with joint discussion about how to put this right in the future. Sometimes this necessitates training refreshers for staff such as customer services training. Another example was a theme which developed during the pandemic where individuals felt lost in the social care system and what the next steps were due to be. The response from the service was to create a “what to expect” to explain to people the route through adult services from</p>

	<p>first point of contact with the service to the point of resolution. This document is now handed out by the team to residents when there is first contact. There are also robust service user forums in adults services and this is a very good feedback loop where issues have been discussed to advice and guidance on how to improve processes.</p> <p>Circular learning also happens in Childrens Services. Staffing issues are addressed by supervision. The person dealing with complaint could pass on any staffing issues to the relevant line manager.</p> <p>Some of the complaints received are not only in respect of internal services but relate to commissioned or contracted services. Those themes would mean that a different response would be required such as following a contract management approach and a corrective action plan where it relates to an individual contract to understand root causes and put responses in place.</p>
<p>We learn from our mistakes and that is very important. Once a Stage 2 investigation has been completed, and upon receipt of the report the Director of Social Services will prepare a letter to be sent with the report to the complainant. What is the acceptable timeframe for that.</p>	<p>The guidance does not stipulate, it states that investigations need to be completed within 25 days as well as the covering letter prepared but there is no timeframe for the letter to be prepared and sent with the final report. This can take up to 20 working days currently and we are trying to improve on that.</p>
<p>How many investigation reports have not been published currently.</p>	<p>There are two waiting to be signed off by the Director currently.</p>
<p>With regard to the table on page 10 – it refers to some issues taking 41+ days which can be much longer than this. What is the breakdown on this figure. Why is it 41+ days</p>	<p>Not certain why 41+ days for a Stage 2 investigation as some can take considerably longer than that.</p>
<p>25 days for an investigation and possibly a further 20 working days for a letter to be drafted. Who would draft the letter and why does it take so long after an investigation is completed.</p>	<p>This is usually a joint role between the complaints officer and the Director. The timeframes are due to pressures on the service.</p> <p>Under the regulations we have to keep people advised and the service has to seek permission for extensions of time which need to be agreed with the complainant.</p>

<p>In relation to the tables on pages 10 and 11 - response times (to receipt and acknowledge). On both tables the percentage non receipted is quite significant. What is the rationale for acknowledgements not being sent as communication is key and if we are not acknowledging receipt of correspondence does this lead to further complaints of dissatisfaction.</p>	<p>Under the regulations we have to acknowledge receipt of a complaint in 2 working days. The complaints officer will discuss the complaint with the complainant at the first point of contact and sometimes the issue can be resolved then can be completed at that point so there is no requirement to receipt or acknowledge. There is a need for more explanation in the report about the rationale why some complaints do not need to be acknowledged under the guidance because they were dealt with at the point of contact.</p> <p>When acknowledgements are made in accordance with the regulations the investigating officer should be appointed at the same time, which adds a level of complexity as it is not always possible to get the person required to undertake the investigation. The issue of acknowledgements will be discussed with the complaints officer and future reports will explain why things were not acknowledged or receipted within a set time.</p>
<p>Section 4.8 – regarding complaints upheld. The Council was fined £1000 following a complaint to the Ombudsman. There is no information in the report about how many cases passed Stage 2 were referred to the Ombudsman. What are the additional costs and impacts / consequences on the Council or Service.</p>	<p>This information can be included in future reports.</p>
<p>Historically the Council has been fined for the length of time taken to investigate. How do we make sure we do not have these fines again going forwards.</p>	<p>There have been no such fines in the last 18 months. We need to look at this on a case by case basis and ensure that things are done quickly within the timeframes so that fines and compensation payments are not incurred.</p>
<p>Section 4.14 – charts. None of the figures add up to 100% (time taken to respond).</p> <p>We have had a response about timescales for dealing with elements of Stage 1 and 2 complaints, but there is nothing in the detail about how long it would take to complete an informal</p>	<p>This is noted and this will be reviewed to see if this information can be made more explicit next year.</p>

<p>resolution. It would be useful to have more information about how long it took to complete Stage 1 and 2 complaints.</p>	
<p>There is no detail in the action plan about how we improve communication with service users. There are also no KPIs (key performance indicators) in the action plan to measure against or benchmarking information to make comparison with other Councils.</p>	<p>KPIs are agreed as a team which can be included in future reports.</p>
<p>Section 6.3 – in relation to the monthly meeting to discuss closed complaints from the previous month. The Committee used to undertake Laming visits. Could Members of the Committee attend these monthly meetings as observers. (1 or 2 Members only)</p>	<p>This can be arranged as it would show Members some of the complexity of what the services are dealing with.</p>
<p>Is there any advice from officers to Members about whether Welsh Government can be asked what they are doing about dementia issues which have been highlighted nationally and any plans they have to address the issue.</p>	<p>The Chair suggested that this be discussed in the reflective session following the meeting.</p>

Outcomes:

Scrutiny made the following observations:

<p>(A) The Committee was informed that:</p> <ul style="list-style-type: none"> • Emphasis was on the early resolution of complaints; • There had been delays in the completion of reports due to pressures on Services; • Services follow the Welsh Government Guide on handling complaints and compliments (2014)
<p>(B) The Committee welcomed that:</p> <ul style="list-style-type: none"> • The level of complaints had reduced from 2017 to 2022 and there were no active Ombudsman investigations currently; • The Services undertake continual learning and seek to make improvements following reviews of complaints (such as looking at themes, training and practice required within a Service) with many complaints being resolved informally; • The main focus of improvement was related to acknowledgements and Stage 2 complaints; • The feedback loop between the complaints team and the individual Services had improved; • That a request had been made to extend the administrative support available to the complaints team; • The numbers of compliments are increasing.
<p>(C) The Committee expressed concern regarding the delays in sending respondents out to complainants following the completion of an investigation;</p>

(D) The Committee recommended that for future Complaints, Compliments and Representations reports:

1. The 2017-2022 chart showing numbers of complaints comparing Adults and Childrens, to be split up year on year so that it is possible to bench mark whether there are any spikes or trends in either service.
2. For further detail to be provided in example narratives and / or pie charts if possible, to show the more specific themes within the more wider complaint themes e.g. themes within 'staff issues' and 'quality of service'.
3. Regarding the charts under 4.15 on time taken from receipt to completion:
 - (a) A line to be included (or explanation in the narrative) to provide the information on those complaints which are resolved upon being submitted and so do not require any further response of receipt or acknowledgement.
 - (b) A breakdown to be provided for the 41+ days line to show more accurately how long some complaints are in our systems before being closed
4. The inclusion within the annual report of the cost impact to the service following the complaints being upheld or partially upheld (including cost of action taken to remedy, sums paid to service users and/or penalties given by Ombudsman as a global figure)
5. The inclusion of extra explanation regarding the time it takes to complete the stage 1 investigation should the stage 1 lead on to a stage 2 investigation and then the times it takes to complete a stage 2 investigation. (Section 4.14)
6. The inclusion of data from any complaint system KPIs used by the service.
7. The inclusion of any complaint data comparisons with other Local Authorities.

(E) General Recommendations

1. Scrutiny requests that two members attend the monthly meeting which takes place to review closed complaints.
2. Scrutiny requests an assurance from the service that where complaint investigations exceed the required timeframes and there are delays in finalising the letters out to complainants, that clear explanatory holding responses are sent to complainants. Scrutiny requests site of an example of such a response.
3. Scrutiny has considered the responses given during the session regarding how any lessons learned from either complaints or compliments are fed back to the relevant service in order to make improvements and/or remedy the complaint. Scrutiny is particularly concerned about how the process captures necessary learning when a complaint investigation could take considerable time (especially if staff involved may have changed since the relevant incident or issue). Scrutiny was informed that in some circumstances, particularly for complex complaints which are multifaceted, there can be an action plan put in place in order to ensure the service reflects and learns from what has happened. Within this in mind, Scrutiny requests sight of the following:

- (a) example action plans put in place and an example anonymised complaint case file of a complex / multifaceted complaint.
 - (b) any policies which set out to those who review complaint / enquiry / compliment communications on how to respond to complaint / enquiry and how to feed on to other relevant officers
 - (c) any document which sets out when the service will put an action plan in place
 - (d) example emails on to relevant team leader showing feedback loop in place
4. A copy of the following information:
- (a) information provided to service users about how the complaints process works
 - (b) Welsh Government Guide on handling complaints and compliments (2014)

The reasoning for these requests is for Scrutiny Members to review this information to assess whether it will make any further recommendations in this area.

Scrutiny's Recommendations to Cabinet

- 1 That the inclusion of additional information in future reports set out in Section (D) above be approved.**
- 2 That the recommendations set out in Section E 1 to E4 above be approved.**

6. WORK PROGRAMME

The Committee noted the schedule of meetings as set out on the agenda.

The Committee was advised that consideration of the Quarter 2 Performance report was being delayed to the meeting in December. It was suggested that the Draft Safeguarding Policy was provisionally scheduled for the next meeting. The Chair indicated that she wanted further discussions with Senior Officers regarding at which committees this document was considered. The Chair also questioned the position regarding the Direct Payments report and the Scrutiny Manager advised that this was with the Service for further consideration. The Chair further suggested that discharges from hospital could be an issue for consideration at the next meetings.

County Councillor A Jenner (Chair)

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5.1

Scrutiny Committee Date

Report Title:	Quarter Two 2022-23 Performance Report
Lead Officer:	Head of Transformation and Democratic Services

Key Issues in the report highlighted by Lead Officer

The report covers how the organisation is performing in delivering the aspirations of the Corporate Improvement Plan, Vision 2025. This report covers the period of Quarter Two – July to September 2022.

Key achievements and issues are highlighted throughout the report at a well-being objective level to allow for ease of use.

Key Feeders (tick all that apply)

Strategic Risk		Cabinet Work Plan	
Director / Head of Service Key Issue		External / Internal Inspection	
Existing Commitment / Annual Report	X	Performance / Finance Issue	X
Suggestion from Public		Referral from Council / Committee	
Corporate Improvement Plan	X	Impacting Public / other services	
Service Integrated Business Plan	X		
Suggestion from Members			
Partnerships			

Scrutiny Impact (tick all that apply)

Policy Review		Performance	X
Informing Policy Development	X	Evidence Gathering	
Risk		Corporate Improvement Plan	X
Service Integrated Business Plan	X	Partnerships	
Pre-Decision Scrutiny		Finance / Budget	X

Other (please specify)

Not applicable

Suggested scrutiny activity - Committee's Role:

In line with the council's [Performance Management and Quality Assurance Framework](#), it is proposed that Scrutiny consider the following key questions as part of analysing the performance information:

Corporate Performance Report

1. Overall, does the detail provided in the corporate performance report provide a meaningful and balanced account of progress against planned milestones and targets in Vision 2025? Does it clearly articulate; how well we are doing?; how do we know?; what and how can we do better? Is the commentary written in clear, plain and understandable language?
2. Is the content and quality of reporting appropriate and sufficient to provide the organisation (particularly Scrutiny themselves as well as the responsible Heads of Service, Directors, and Portfolio Holder) with assurance about the work being undertaken? Does it 'speak for itself' clearly and demonstrate if we know we're 'doing the right thing in the right way'?
3. Are the BRAG status' that have been given for the objectives fair and appropriate? Do they align with the detail that is provided in the Achievements, Issues, Actions commentary?

4. Given current and previous performance against the measures, are future targets realistic/ sufficiently challenging? Are there specific areas of concern, for example objectives/ measures that have not made progress from one quarter to the next? Future targets are detailed in the CIP Vision 2025 document [link](#)
5. Are the actions for getting red and amber objectives/ measures back on track robust enough? (taking account of available resources and prioritisation). Are the timescales for completing the actions realistic and appropriate?
6. Any other comments

On what specific elements of the report would scrutiny comment add value

As noted above.

5.2

CYNGOR SIR POWYS COUNTY COUNCIL.

CABINET EXECUTIVE 8th November 2022

REPORT AUTHOR: County Councillor Cllr David Thomas
Portfolio Holder for Finance

REPORT TITLE: Financial Forecast for the year ended 31st March 2023 (as at 30th September 2022)

REPORT FOR: Decision

1. Purpose

1.1 To provide Cabinet with the forecast revenue budget outturn for the 2022-23 financial year based on the position at quarter two and explain any changes since the last report at quarter one.

2. Background

- 2.1 A report considered by Cabinet on the 27th September 2022 set out the current challenging economic context and how it is impacting on the council's finances. The impact of rising inflation is increasing the financial pressure on the Councils budget as costs for fuel, food, and energy increase.
- 2.2 Employee Costs are set to increase significantly. Pay awards are still subject to negotiation, but Welsh Government have proposed that Teachers pay will increase by 5% from September 2022 and the National Employers for local government services (NJC) have made a final pay offer to the unions representing other council employees which equates to an average increase of 7.25% this year, ranging from 10.5% to 1.29% across the scale points.
- 2.3 The rising costs are also impacting on our capital schemes as materials and contractor costs increase and the cost of borrowing become more expensive.
- 2.4 The cost of living challenge is also impacting on our local businesses and residents and this creates additional pressure on the Council as demand for our services increases.
- 2.5 The budget set by council back in March is not now sufficient to meet our costs and the Council is taking action to reduce expenditure and draw on our reserves.
- 2.6 At quarter one we were reporting that £3.827 million was projected to be drawn from specific reserves to deal with the additional pressures already identified and in addition a further shortfall of £1 million was also being forecasted.
- 2.7 At quarter two the projected position has risen to a deficit of £7.064 million, of which £5.316 million will be funded through the drawdown of specific reserves. Leaving a further £1.748 million deficit to be funded from general reserves.
- 2.8 Table 1 below summarises the projected outturn position across the Council's services including HRA and delegated schools.

Table 1 – Forecast Position

	£'000	Sept
Base Budget		301,870
Cost Pressures		16,595
Cost Underspends		(12,548)
Cost Reductions Shortfall		3,018
Use of Specific Reserve		(5,316)
Sub Total		303,618
Overspend		1,748
Funded by:		
Overspend Gap - Budget management reserve		(1,748)
		(1,748)

- 2.9 The revised projection includes an estimate of the NJC and Teachers pay awards that are still being negotiated, an estimated cost of £8 million to be found this financial year. The approved budget in March assumed a level of pay increase, but this does not fully meet the estimated costs, leaving a £3.7 million gap this year.
- 2.10 In response to the increasing challenge, steps have already been taken to pull back on expenditure across the council with services taking action that aims to reduce service expenditure by £2 million over the remainder of the financial year. In addition, corporate budget assumptions have been reviewed, reductions in borrowing as some capital schemes are delayed, the reversal of the National Insurance increase and updated Council Tax data, are now projecting improved positions to further support the revenue position.
- 2.11 Appendix A provides the financial position for each service, broken down into categories covering cost pressures, cost underspends, cost reductions and use of specific reserves.
- 2.12 Further detail about each service area is provided in Appendix B, with Heads of Service setting out their individual narrative that explains their financial position.

3. Cost Reductions

- 3.1 Cost reductions of £8.072 million were approved as part of the Councils budget for 2022/23 and the delivery of these is required to achieve a balanced budget. In addition, undelivered savings from 2021-22 have been rolled forward totalling £2.783 million, these also need to be delivered.
- 3.2 The summary at Table 2 shows that 44% or £4.808 million have been delivered and a further 28% £3.040 million are assured of delivery by Services. £3.007 million, 28% are unachieved and are at risk of delivery in year. Services are reviewing these and are required to consider mitigating action to ensure that they can deliver within the budget allocated.

3.3 Table 2 – Savings Summary

£'000	To Be Achieved	Actually Achieved	Assured	Un-achieved
Adult Services	3,429	1,730	1,699	-
Childrens Services	3,640	1,505	858	1,278
Commissioning - Adults & Children	-	-	-	-
Economy and Digital Services	282	41	2	238
Education	55	50	5	-
Schools Delegated	-	-	-	-
Finance	39	39	-	-
Central Activities	1,045	1,045	-	-
Highways Transport & Recycling	1,612	6	290	1,317
Housing & Community Development	172	166	3	3
Legal & Democratic Services	24	-	18	6
Transformation and Communications	230	200	21	8
Property, Planning & Public Protection	189	25	7	157
Transformation and Communication	-	-	-	-
Workforce & OD	138	-	138	-
Total	10,855	4,808	3,040	3,007
		44%	28%	28%

4. Reserves

- 4.1 The Reserves position at Table 3 sets out the reserve forecast as at 30th September 2022. The opening reserves stood at £63.782 million, with the general fund reserve of £9.333 million representing 4.2% of total net revenue budget (excluding Schools and the HRA).

Table 3 – Reserves

Summary	Opening Balance (1st April 21) Surplus / (Deficit)	Forecast Addition / (Use) of Reserves	Projected Balance (31st March 23) Surplus/ (Deficit)
General Fund	9,333	-	9,333
Budget Management Reserve	3,584	1,748	1,836
Specific Reserves	29,167	9,920	19,247
Transport & Equipment Funding Res	8,843	2,080	6,763
Total Usable Reserves	50,927	13,748	37,179
Schools Delegated Reserves	8,982	93	8,889
School Loans & Other Items	- 371	7	- 364
Housing Revenue Account	4,244	145	4,099
Total Ring Fenced Reserve	12,855	231	12,624
Total	63,782	13,979	49,803

- 4.2 The specific reserve forecast partly relates to the use of grants that were rolled forward last year for use this year totalling £3.342 million. In addition, £5.316 million of reserves was previously agreed to fund specific areas set out in the yearend report and pressures identified as “risk” through the budget setting process due to Covid cost, the Ukraine crisis and the impact of inflation.
- 4.3 The remaining projected deficit of £1.748 million will be funded from the budget management reserve if it materialises.

4.4 The delegated schools forecast is likely to change, Schools are currently reviewing their budget plans in light of the rising pressures from utilities and the estimated pay awards. School reserves increased by £5.732m at the end of last year as they benefitted from additional funding provided by Welsh Government in the last quarter of the year. They will need to draw on these to support the increasing costs.

5. Grants and Virements

5.1 There have been additional grants received this quarter and are reported to comply with financial regulations:

5.1.1 Children's Services:

- Unaccompanied Asylum Seeking Children, Welsh Local Government Association Grant of £1,372. Funding to support local authorities in their work with unaccompanied asylum-seeking children.
- Additional Childrens and Communities Grant, Welsh Government Grant of £134,000. Additional funding has been provided for the expansion of early years provision via Flying Start to meet the Programme for Government commitment to deliver a phased expansion of early years provision to include all 2 year olds, with a particular emphasis on strengthening Welsh medium provision. The condition is that it is ring-fenced for the expansion of early years provision via Flying Start.
- Cost of Living Funding Prevention Payments for families with care and support needs, Welsh Government Grant of £37,534. The Purpose of the funding as part of the Welsh Government 2022-23 Cost of Living package is to provide local authorities with a fund to provide prevention payments for families with care and support needs who need essential items which they are struggling to pay for due to increased cost of living.
- Family Intervention Fund, Welsh Government Grant of £91,395. The Purpose of the funding is to provide local authorities with funding to resource practical support and direct family intervention on a case-by-case basis: - for children referred for safeguarding issues but not meeting the statutory threshold for intervention in order to promote family resilience and child well-being and divert children from registration on the child protection register and; - for children on the child protection register who can be safely removed with the right additional support.

5.1.2 Education

- £831,543 - Local Authority Education Grant Variation 1, broken down as follows:
 - £74,832 – Induction Placement Scheme. The purpose of this funding is to deliver the extension of the induction placement scheme between April – August 2022.
 - £42,000 – Online IDP Project. The purpose of the grant is to fund online solutions for IDP as a part of the Additional Learning Needs transformation programme.
 - £8,560 – Additional funding for Changes Non maintained funding April – August. Local authorities, working with funded non-maintained nursery settings in their area, are responsible for ensuring that funding impacts on key areas that will support the delivery of quality Foundation Phase Nursery provision. The funding should focus on practitioner support and resources in key developmental areas which support the Foundation Phase pedagogical approach
 - £11,985 - Additional funding for Change Non maintained funding September – March. Same description as above.

- £694,166 – Universal Primary Free School Meals. Welsh Government has committed to roll out free school meals to all primary pupils by September 2024 as part of a Co-operation Agreement with Plaid Cymru, this is a demand led grant and can only draw down the value of the meals we serve.
- £99,189 – Welsh-Medium Late Immersion Grant. Build on current immersion centre provision at Ysgol Dafydd Llwyd and set up an immersion centre at Llanfyllin.
- £16,333 – Welsh medium capacity grant (Variation 1 of the Regional Consortia School Improvement grant [RCSIG]). To support the capacity building of some parts of the Welsh-medium and bilingual education workforce.

5.2 Several virement requests are requested for approval:

5.2.1 Court Team Management of Change – to transfer £337,510 from the existing Care and Support teams to form new Court team. In December 2020 a pilot project was introduced into the Care and Support Service utilising the current staff including agency workers to create an additional Court Team in the structure. The aim of this pilot was to improve the consistency and quality of the practice for children and their families whose care plans are before the court, to improve and strengthen the Pre-Proceedings part of the Public Law Outline and to provide increased focus to those children subject to a child protection plan. The additional Court Team will be funded through re-organisation of the current Care and Support Teams in the North and the South and therefore it is within the current budget.

5.2.2 A virement for £253,038 for Childrens Services using general reserves to support placement capacity in County and avoid the use of unregulated arrangements, for this financial year only. The short-term plan would allow for a property to be utilised to develop an in-house bespoke placement for a service user with complex needs, this creates a sustainable option for placement stability in the short term. The medium-term plan would be to work with the regulators to register this provision as a registered children's home for 2 young people, to provide a long term, registered placement which could meet the needs of Powys Children and support them to achieve the best possible outcomes.

5.2.3 A virement for a one-off temporary budget transfer of £150,000 to Home to School Transport to offset the pressure in relation to the Post 16 transport costs funded by the 14-19 provision in Education in this year only.

5.2.4 A virement to move £102,850 from the Secondary Improvement base budget for the Service Manager Secondary Improvement into the Head of service budget alongside the budget for the rest of senior management team.

5.2.5 A virement to move £102,850 base budget and income funding from the Regional Consortia School Improvement Grant for the Service Manager for Curriculum for Wales and Professional Learning into the Head of service budget.

5.2.6 The Cleaning department are to carry out the standard void cleaning works for the Housing client, previously undertaken by the Heart of Wales Property Services. In order to carry out this work the cleaning department require 3 x additional Grade 3 staff and 1 x Grade 7 staff, and 2 vehicles totalling £135,000, which will be met in full by raising charges to the Housing budget. The virement request therefore seeks approval for the increase in budgeted staffing and fleet costs, to be met by an increase in budgeted income.

5.2.7 Highways, Transport and Recycling has carried forward unachieved savings targets of £1.3 million, these unachieved savings were absorbed within the HTR budget in 2021/22. The delivery of the savings were impacted by Covid, such as car park income and public transport. The Head of Service has confirmed that the unachieved savings can be absorbed within the existing HTR revenue budget and has also confirmed £295,505 of the target will be achieved this financial year. The service budgets will be realigned as the targets can now be met through additional income being achieved through Street Works income, Highway Design income and Recycling income.

6. Financial Risks

- 6.1 The proposed pay awards have impacted heavily on the revenue budget and action had to be taken immediately to limit the need to draw on reserves to fund the shortfall. Pay negotiations continue and risk remains as to the value of the actual amounts agreed. In previous years additional funding has been provided by Welsh Government to fund the Teachers pay award, but this may not be the case this year.
- 6.2 Demand for some services could change, this will impact on the figures currently being projected. As we head into the autumn and winter period Social Care may see increasing pressure as more people require council support.
- 6.3 Minimising the call on reserve this year is essential, the increased level of risk will not diminish over the short term and we are developing the 2023-24 budget in an extremely challenging time, holding sufficient reserves to cover the continued risk is essential to our financial resilience.
- 6.4 In previous years additional funding has been provided by Welsh Government towards the end of the year, this is unlikely to happen this year so we must plan and manage our budget without that expectation. The indicative funding allocations for the next 2 years provided by Welsh Government in March are well below the level of inflation and will represent a real term cut in funding for the Council.
- 6.5 The Medium Term Financial Strategy and the assumptions on which the Financial Resource Model is based continues to be reviewed. We continue to plan in a challenging and uncertain time and will update our projections as more information becomes available.
- 6.6 Rising inflation and in particular fuel and energy costs are now impacting on the Council, with contractors approaching the Council to raise their concerns and start discussions. Further impact is now expected arising from the situation in Ukraine. With CPI inflation 10.1% (September) and expecting to rise we must ensure that we take every opportunity to limit this impact.
- 6.7 The Council remains under borrowed as we continue to utilise our cash reserves to underpin our cashflow. We can borrow both in the short to medium or long term, but the cost of borrowing has risen due to the changes in bank rate, our approach is regularly updated and explained as part of the Treasury Management update to Audit Committee.

7. Resource Implications

- 7.1 The Head of Finance (Section 151 Officer) has provided the following comment:
- 7.2 The council is facing a considerable challenge to balance its budget this year. We must take action to reduce costs and limit the draw on our reserves.

- 7.3 Reserves are held to mitigate unexpected risks and the use of reserves this year will ensure that we meet our statutory responsibility to deliver a balanced budget, however, the challenging environment is not going to end at the end of this financial year, we must ensure that we deliver council services within the resources we are allocated on an annual basis. Holding sufficient reserves to manage the ongoing risk as we move into future years is key to maintain our financial sustainability.
- 7.4 The current volatile situation dictates that we will keep the position under constant review and we will continue to update our assumptions and their impact on the budget both for the current year and as we develop our financial plans for the next five years.
- 7.5 The council is reviewing and updating the Medium Term Financial Strategy, proposals are being developed to address the shortfalls we are now predicting into 2023/24 as we continue to deal with increasing costs. Indicative allocations for 2023/24 provided by Welsh Government back in March will not be sufficient to meet our predicated costs. The autumn statement delivered by the chancellor in November will provide more information on how much funding public services can expect next year. We will have to react quickly when funding levels are confirmed to finalise and balance our financial plans.
- 7.6 Discussions at a national level will be very important through the next few months and we will work closely with other Authorities and the Welsh Local Government Association to ensure that the impact the current economic position is having on the Council is fully understood.
- 7.7 There will be difficult decisions ahead as we consider the implications of our financial position on our ability to deliver appropriate Council services to our residents.

8. Legal implications

- 8.1 The Head of Legal & Democratic Services (Monitoring Officer) as no comment with this report.

9. Data Protection

- 9.1 There are no data protection issues within this report.

10. Comment from local member(s)

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

11. Impact Assessment

- 11.1 No impact assessment required.

12. Recommendation

- 12.1 That Cabinet note the current budget position and the projected full year forecast to the end of March 2023.
- 12.2 The grants received in this quarter as set out in section 5.1 are noted
- 12.3 The virements set out in section 5.2 are approved, this is to comply with the virement rules for budget movements between £100,000 and £500,000 as set out in the financial regulations.

Contact Officer: Jane Thomas
Email: jane.thomas@powys.gov.uk
Head of Service: Jane Thomas

Appendix A

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		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Adult Services	73,869	2,537	(80)	1,699	78,025	(1,699)	(1,372)	(1,080)	73,874	(5)	34
Children's Services	27,900	4,266	(1,458)	2,135	32,843	(858)	(563)	(567)	30,856	(2,956)	(2,006)
Commissioning	3,651	0	(11)	0	3,640	0	0	0	3,640	11	1
Education	17,416	626	(1,019)	5	17,028	(5)	(49)	0	16,974	442	(242)
Highways Transport & Recycling + Director	29,677	2,029	(2,902)	1,606	30,410	(290)	(150)	(35)	29,936	(259)	(260)
Property, Planning & Public Protection	6,122	588	(793)	164	6,081	(7)	(150)	0	5,924	198	(225)
Housing & Community Development	5,440	540	(192)	7	5,795	(3)	0	0	5,791	(351)	(193)
Economy and Digital Services	6,311	54	(304)	240	6,301	(2)	0	(54)	6,245	66	(39)
Transformation & Communication	3,724	174	(142)	29	3,785	(10)	(96)		3,679	45	0
Workforce & OD	2,399	0	(174)	138	2,363	(138)	0	0	2,225	174	79
Legal & Democratic Services	1,387	66	(103)	24	1,375	(18)	0	0	1,357	30	49
Finance & Insurance	6,258	29	(16)	0	6,271	0	0	0	6,271	(13)	41
Corporate Activities	38,225	5,583	(5,354)	0	38,454	0	(1,200)	0	37,254	971	1,831
Total	222,379	16,493	(12,548)	6,047	232,370	(3,029)	(3,580)	(1,736)	224,025	(1,646)	(930)
Housing Revenue Account	0	2	0	0	2	0	0	0	2	(2)	0
Schools Delegated	79,491	100	0	0	79,591	0	0	0	79,591	(100)	(85)
Total	79,491	102	0	0	79,593	0	0	0	79,593	(102)	(85)
Total	301,870	16,595	(12,548)	6,047	311,963	(3,029)	(3,580)	(1,736)	303,618	(1,748)	(1,014)
					(10,093)				(1,748)		

Appendix B Head of Service Commentary

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Adult Services	73,869	2,537	(80)	1,699	78,025	(1,699)	(1,372)	(1,080)	73,874	(5)	34

Adult Social Care Overview

The forecast outturn at the end of quarter 2, 30th September 2022, is an overspend of £4.156m of which £2.452m is to be funded from agreed 'Specific Adult Social Care' reserves and £1.080m from the 'Councils Risk/Management' reserve, £1.699m of efficiencies/savings still to be delivered, which leaves an overall small underspend of £5k, assuming that the full growth allocation of £2.3 million will be utilised to fund external services in regard to the Real Living Wage as directed by Welsh Government and expenditure remain within this financial envelope. Currently, the Local Authority is still in negotiation with some providers. The outturn forecast has deteriorated by £39k from Quarter 1.

Cost Pressures

(a) Current Pressures - Included in the forecast outturn at quarter 2

- £1.202 million of the £1.436 million Specific Reserves carried forward from 2021/22 year end, as below

Explanation to Support Request	£	Included in Outturn Q3 Forecast
Roll over into a specific reserve the underspend due to one off income raised from back dated fees. This reserve will specifically fund a managed service 'Zyla' to reduce the number of outstanding reviews, in part due to the pandemic and also due to the increased presentations due to lack of Health Care provision, unfortunately the resource was sourced in 2021/22 but have been unable to commence until 2022/23.	£497,000	£497,000
Roll forward reserve due to mini PPNO2/20's with providers to fund additional running costs of Older Day Centres and restricted numbers of service users, which is currently and unknown unit cost	£100,000	£100,000
Roll forward to cover the additional cost of the Agency Domiciliary Care v Powys County Council employed, during period of recruitment and on boarding, following return of hours from the external providers. Due to the lateness of a grant received to promote the independence of people with care and support needs or in an early intervention and prevention context to maintain people in their own homes, the service offset existing costs to utilise a portion of the additional funding, this enabled the service to have an underspend against base funding which we request to roll forward.	£385,000	£385,000
Roll forward reserve due to mini PPNO2/20's with providers to fund additional placements costs, possibly out of county, which will not have been budgeted for, due to the financial stability of commissioned providers, particularly the care home sector following the cessation of the Welsh Government Covid 19 Hardship and capacity following the pandemic. This will enable swift transfer of clients.	£234,000	
Roll over into a specific reserve due to the one off over achievement of 'Direct Payment' refunds, as clients have been unable to utilise fully due to the pandemic the one off additional capacity within the Occupation Therapist teams to meet the XXXX number of outstanding assessments due to increase in referrals during the pandemic, in part due the reduction in hospital surgery and increase in falls and trips and due to 'lock down' the lack of mobility.	£220,000	£220,000
TOTAL	£1,436,000	£1,202,000

- Additionally, £170k of the £400k allocated at year end by Welsh Government (WG) in the Revenue Support Grant (RSG) to be utilised to fund 'electric cars and driving lessons' in Domiciliary Care and rolled forward to 2022/23, is now going to be utilised to fund the increase in mileage rate for external domiciliary care providers from 35p per mile to 45p per mile as part of the UKHCA funding formula, as per WG redirection notification.

- A total of £1.080 million is to be funded from the Councils 'Risk/Management' reserve: £830k in year Covid pressures and £90k Demography to be managed at risk as considered and agreed as part of the budget setting process in the Financial Resources Model (FRM), £100k contract inflation as a result of Ukraine etc., £60k in respect of the cost of the two additional bank holidays for frontline services, not previously budgeted for.

(b) Future pressures - Not included in the forecast outturn

- Unknown future impact of Covid 19 on services/providers as Welsh Government (WG) Hardship funding ceased on 31st March 2022. This was in relation to support to local authorities to maintain their commissioned and in-house adult social care placements. Additionally, increase in service needs due to frailty/deterioration in health and mobility as a result of lack of Health appointments and delays in treatment and operations.
- Winter pressures and potential demand on home-based care and interim bed options, future demand is unknown and so further cost pressures may arise.
- Older People & Disability centres and services have remained closed during the pandemic but will reopen one by one, operating within safe working and social distancing rules. This may result in additional costs or double running, where some clients choose to remain to continue to receive having services delivered in the current format in the community following the 'what matters conversation' and the cost of running the centre remaining but at a much higher unit cost per client.
- Stability of commissioned providers, particularly the care home sector. There is currently 2+ providers who may be at risk of failure.
- Future demography, which was agreed to be funded from the risk reserve as part of the Financial Resources Model (FRM) budget setting process. This temporary allocation will only support these costs during 2022/23 and the full year impact will need to be considered in the FRM and Service's Integrated Business Plan (IBP) for future years.
- Additional and backdated costs for "Sleep-ins" following the outcome of the judicial review, possibly backdated to November 2011. Awaiting judgement and liability to be calculated by the payroll team for the in-house service and legal direction.

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Cost Underspends

- £80k are across various service areas in relation to staff slippage and travel, as less face to face meetings occurring currently

Cost Reductions

- **Assured**
The original target of £3.429 million is currently on target to achieve delivery, of which £1.730 million (50.04%) of the original target to date achieved and included in the forecast outturn. Currently, there is assurance of delivery of the further £1.699 million outstanding.
- **Undeliverable**
A risk on delivery if Covid continues and referrals continue at the current levels.

Other mitigating actions to deliver a balanced budget.

- Maximisation/utilising of any grant underspends, if within the grant terms and conditions for previously budgeted and funded baseline costs.
- Strength based approach to care assessments and care and support planning to mitigate pressures.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final	Sept Variance	June Variance
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23		
Children's Services	27,900	4,266	(1,458)	2,135	32,843	(858)	(563)	(567)	30,856	(2,956)	(2,006)

Children's Services Overview

The pressures from quarter 1 have continued into quarter 2 with a trajectory of an overspend of £2.956K at the end of this financial year. We are currently reviewing all expenditure, which has included going back to basics and looking into every penny that is being spent. We are aware of the continued high-cost placements situation, so we have reviewed our closer to home strategy and arrangements to make this more focused with clearer objectives such as developing a recruitment strategy for inhouse foster carers. We are continually monitoring the use of agency social workers and non-qualified staff to ensure that we are getting value for money. Recruitment and retention of staff remains a challenge, however the grow our own investment whilst has not made the predicted savings to date, has provided benefit with permanent social workers into the service and will continue to do so over 2023/24.

Cost Pressures

- £1.760 million cost in placements for children who are children looked after. There is an increase in Residential provision out of Powys due to a lack of in house foster carers, Independent Foster Carers and Residential provision.
- £353K Agency workers costs covering Bannau which provides in county children looked after placements for children with complex and disability needs. There were 12 vacant positions in Qtr 1 and 7 vacant positions at the end of Qtr 2. We are continuing to actively recruit.
- £516K Agency workers covering shifts within Children's residential home. We are currently actively recruiting to these positions.
- £80K Social Services Emergency Duty Team- this figure is owed to AS to cover the costs since the service moved to them.
- £223K Leaving Care- These children remain in high-cost placements at 18 years of age and have not stepped down due to need but who are still subject to Pathway plans and entitlements as care leavers.
- £166K Section 21 support- additional monies being used to support families who are in crisis.
- £172K Short breaks for children with complex needs- and increase in short break provision based on need. £102 pressure with an offset from covid reserve of £70k
- £996K Utilisation of an agency managed team- £499K off set below from covid reserve fund.

Cost Underspends

- £73K We have an underspend in adoption placements and resources as part of the regional requirements.
- £29K Legal fees due to decreasing the number of children being placed before the court for decision making.
- £74K Various resources across all service areas
- £1.282 Million underspent on staffing, due to posts being held vacant, coupled with savings around the current forecast of the market supplement.

Cost Reductions

- £380 Target. This was set as a target 20/21 for shared costs with PTHB however these savings remain to be consistently saved. To date £136K achieved with a remaining £244K not yet achieved. No other children eligible, so this cost is not likely to be saved.
- £256K Target- This is all achieved. There was a change in leaving care Provision (16 plus supported Accommodation), which has been commissioned.
- £1,500,000 Placements Target- Achieved £782K- Left to achieve £718K. The Closer to Home (step down in provision) has been established with objectives set around continuing to bring children who are looked after back to Powys. We are looking at higher cost placements and considering what could be done differently e.g., moving a young person from a high-cost residential placement to live in her own flat supported by us through the 16+ accommodation strategy.
- £800K Continuing Care Contribution. This was set as a saving target in 2021/2022 but there are no care plans where this money has been identified. This has been highlighted as a complicating factor.
- £150K Agency – This saving was identified within 2021/2022 with an expected conversation of 5 agency social workers to permanent social worker positions. Due to the high level of staff leaving the council this was not achievable. We continue with our recruitment campaign to recruit permanent social workers. Whilst we have recruited some agency staff to permanent workers, staff have still left so the gap has not reduced.
- £84K Cost Saving from using permanent Social Workers once qualified instead of Agency (based on "grow your own" project - Masters Students and 50% Open University Students) plus Market Supplement. 5 grow our own students qualify this Summer and have been matched to Permanent posts within the structure. Whilst we have recruited these staff, the deficit remains in key statutory service areas such as the Front Door- Information, Advice and Assistance function and impact in demand within the Assessment teams.
- £10K Reduction in staffing expenses/family time expenses due to "closer to home". Delivered 10K
- £5K Foster Panel Costs (Team managers to cover)- Delivered £5K
- £50K Special Guardianship Order (SGO) Project - 1 FTE Social Worker in first two years. The project plan is being implemented. There is saving yet as no team in place.
- £30K Special Guardianship Order (SGO) Project - 0.5 FTE Independent Reviewing Officer (IRO). The project plan is being implemented. There is no saving yet as no team in place.
- £90K Special Guardianship Order (SGO) Project - Conversion of Independent Fostering Agency (IFA) placement to SGO placement. Delivered £30K to date

Use of Reserves

An agency managed team was brought in to support the service during a difficult period of recruitment, retention coupled with capacity and demand. The team currently support up to 120 families who have been subject to child protection processes. This has assisted in the safety planning of these children and their families and assisted with the increased workloads within the service. £64k was agreed to support the children's residential home due to additional staffing required which was ordered by the court care plan.

Covid risk reserve- £497K contact officers, front door and early help pressure due to demand and capacity.

Plus £70k for additional short breaks provision for children with complex needs.

Other mitigating actions to deliver a balanced budget.

We

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- will fully utilise grants across the service as in previous years to mitigate the financial position.
- are engaged with the Commissioning of an Agency Matrix Framework which we anticipate will enable effective recruitment and management of agency worker and reduce agency costs.
- have re launched the Closer to home strategy to bring children who are looked after closer to their homes. We are developing a recruitment strategy for supported lodging hosts and foster carers so that there is more flexibility within placements within Powys.
- are continuing to invest in our Grow our own project with up to 10 potential students qualifying as social workers in November 2023.
- are reviewing our expenditure around our section 21 monies and establishing if we can do things differently.
- are reviewing our offer around short break provision.
- are reviewing our high cost residential placements and establishing if we can source an alternative within Powys.
- are reviewing our staffing structure and considering what could we do differently?
- are looking at ways in which we can continue to reduce the number of children who are looked after and also the number of children subject to child protection registration.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Commissioning	3,651	0	(11)	0	3,640	0	0	0	3,640	11	1

Commissioning Overview

Although the projections point towards a balanced budget, it is anticipated, but not assured, that there will be further adjustments throughout the year with national government grants being made available to support the work of the service.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Education	17,416	621	(1,019)	5	17,023	(5)	(49)	0	16,969	447	(242)

Education overview

Through excellent joint working between the finance team and the Schools Service senior managers significant savings have been made which will help ease the internal financial pressures. Further efficiencies are yet to be achieved in specific service areas but through ongoing collaboration and solution driven decision making we hope to reduce the overspend further helping this financial year and next.

The Covid-19 pandemic continues to place additional pressures on the service and consideration needs to be given regarding the long-term challenges this could bring in certain areas such as ALN. The service is working hard on mitigating financial issues as they arise through the effective use of grants and have managed to alleviate pressures.

Children 40

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Schools Delegated	79,491	100	0	0	79,591	0	0	0	79,591	(100)	(85)

Schools Delegated Overview

Through excellent joint working between the finance team, Schools Service and schools we have provided clear messaging and support which will help schools to ease their financial pressures. We have shared a financial toolkit to support with reviewing current spend and enable further efficiencies to be made. Schools will be invited to financial surgeries to discuss financial plans and next steps.

The Covid-19 pandemic continues to place additional pressures on schools and consideration needs to be given regarding the long-term challenges this could bring.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Highways Transport & Recycling + Director	29,677	2,029	(2,902)	1,606	30,410	(290)	(150)	(35)	29,936	(259)	(260)

Highways Transport & Recycling Overview

Cost Pressures

- £222k overspend on highways routine maintenance works, which is an improvement since June 2022
- £218k under-recovery of the budgeted profit target from Trade Waste collection services which is used to support corporate support costs in delivering the Trade Waste Service.
- £144k overspend on green waste collections
- £108k overspend on domestic waste collections resulting in the main from increased fuel costs
- £225k overspend on Household Recycling Centre management fee for July to March 2023 whilst the contract retender takes place.
- £417k overspend on home to school transport expenditure

Cost Underspends

- A forecast over-recovery of recyclate income against budget of £536k
- An over-achievement of £709k against street works resulting from increased income against budget.
- An over-achievement of profit associated with highways design of £206k.
- An over-achievement of income on traffic management works of £127k
- Use of vacant management/supervision posts £203k

Use of Reserves

- £549k expected BES grant reserve to support the £549k savings target within transport services.

Other mitigating actions to deliver a balanced budget.

- Promote the green waste service to increase income.
- Seasonal working is starting to reduce overtime on highway and verge maintenance
- Start reducing non-critical highway maintenance works
- Increase Trade Waste charges to ensure full cost recovery.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Property, Planning & Public Protection	6,122	588	(793)	164	6,081	(7)	(150)	0	5,924	198	(225)

PPPP Overview

A harder environmental policy stance on intensive agricultural units and the phosphates issue in general is impacting on planning application income generation. The Planning Service is attempting to mitigate the impact by not recruiting to some vacant positions, but this mitigation is not going to be sufficient to stop the Planning Service having a significant overspend. The 2021 savings proposal of an additional £75,000, which was carried forward to 2022, is not going to be achieved considering the above.

Further controls relating to the funding of public protection investigations are being put in place to secured greater budget certainty. Methods to further manage risk are being considered by the service area.

Trading Standards are unable to achieve an income target of £44,000 from Proceeds of Crime Act 2002. The service area is looking into alternative options to secure £44,000 as this income target is not considered to be achievable moving forward.

Strategic Property are forecast an underspend compared with an overspend in the previous quarter. This underspend relates to the release of a significant budget allocated to remedial works, as the service area does not have the staff resource to appropriately manage the remedial spend.

Income targets for a small number of investment properties are not considered to be achievable. Strategic Property are reviewing this situation and moving into the next financial year, believe that these income targets can be offset using income receipt from alternative commercial properties.

FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022					ADJUSTMENTS OUTSIDE THE LEDGER				
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		Add	Less	Add	Revised	Less	Less	Less	Final
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23
Housing & Community Development	5,440	540	(192)	7	5,795	(3)	0	0	5,791

Sept Variance	June Variance
(351)	(193)

Housing and Community Development Overview

Spend is on track across most budget areas within Housing & Community Development, with all but one area forecast to be on budget or returning a minor underspend. As forecast, the one area of concern is Schools Catering, with a £244,000 overspend. Catering income is being carefully monitored and appears to be increasing as covid restrictions easing in schools has allowed a return to more normal provision. Free school meals for the youngest primary children comes into operation from September. At this point it is unclear what impact this will have on income. It is still early in the financial year and the autumn term will give us a clearer indication of income trends.

Pressures

Due to country-wide/global issues regarding increasing energy costs and the uncertainty around continuing UK government support, Powys have been in discussions with Freedom Leisure with regards to the significant cost forecast of utilities during the remainder of 2022-23 and into the next financial year. This could have a considerable impact on the leisure and sport centres in the future.

FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022					ADJUSTMENTS OUTSIDE THE LEDGER				
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		Add	Less	Add	Revised	Less	Less	Less	Final
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23
Housing Revenue Account	0	2	0	0	2	0	0	0	2

Sept Variance	June Variance
(2)	0

HRA – The HRA is ring fenced and forms part of its own trading account, any surpluses and deficits are contained within a ring fenced reserve.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER			
		Add	Less	Add	Revised	Less	Less	Less	Final
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23
Economy and Digital Services	6,311	54	(304)	240	6,301	(2)	0	(54)	6,245

Sept Variance	June Variance
66	(39)

Economy & Digital Overview

Cost Pressures

The service is managing current price increases within budget, but inflationary costs are increasing in ICT and Economy capital investment projects. Discussions are taking place with all current ICT suppliers to understand annual pricing and impact on budgets.

Cost Underspends

Starting costs are currently underspent as the restructure of service has been finalised in Q1 which has covered underachievement in cost reductions. Vacant posts across the service are being held where possible and do not impact critical delivery of the service.

Cost Reductions

ICT hold cost reductions opportunities from the opportunities to modernise and reduce legacy systems on behalf of other services. This work has been delayed over previous years but will now be managed again through 2022/23 to achieve savings outlined.

Use of Reserves

No current use of reserves

Other mitigating actions to deliver a balanced budget.

Economy budgets have been set on a 3 year basis following WG grant allocations giving more stability to the budgets in this area than had been seen in previous years. Maximising opportunities to align current staff to grant income has contributed to the balanced budget.

FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022					ADJUSTMENTS OUTSIDE THE LEDGER				
		Add	Less	Add	Revised	Less	Less	Less	Final

£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23
Transformation & Communication	3,724	174	(142)	29	3,785	(10)	(96)		3,679

Sept Variance	June Variance
45	0

Transformation and Communication Overview

Cost Pressures

The communication staffing structure not fully funded by the annual working budget (37% of staff are funded through income generation/grants). There are also posts within the corporate insight centre (data analytics) that are fixed term and funded via these means. This is a cost pressure for the service and is highlighted in more detail in the mitigating actions below.

Cost Underspends

The current forecast outturn position for Transformation and Democratic Services as at the end of period 6, September, is an under spend of £45k compared to a break-even position, reported at the end of June. This assumes that £96k will be drawn down from the specific reserve. Since the June report Democratic services have moved into this area and it is this service that is reporting the underspend of £45k.

Cost Reductions

The £10,000 cost reductions not delivered have been identified with the accountant and this figure will come from a variety of sources (removal of vehicle lease cost budget, expenditure hire, reduction in postage and print costs and the removal of fleet maintenance SLA).

Use of Reserves

£96k use of reserves.
 £90k to support the Communications staffing structure, as the permanent structure is not fully funded by the base budget and there are also two additional staff in fixed term posts.
 £6k part funds the additional Business Intelligence Officer (fixed term post) within the Business Intelligence Systems team (SQL developer).

Other mitigating actions to deliver a balanced budget.

The Transformation and Communication service is reliant on income, any reduction or increase in income will affect the forecast. We have been fortunate to obtain external funding from other sources over the past few years, this funding enables us to balance our budget, however we know that funding for this year is greatly reduced, we have monies in reserves and are using these to support our current

workforce delivery model as highlighted above. However, the £96k use of reserves is likely to be improved as a Service Level Agreement is being negotiated between Communications and the Regeneration team and it is expected that this will bring in income. Income is also expected from the Health and Care Academy - as these are not confirmed they have not been included in the forecast. When they are confirmed in the next quarter, they will improve the forecast and reduce the requirement from reserves.

The forecast outturn is greater than the annual working budget, which has been the case for many years and is being closely monitored and some fixed-term positions may need to cease if income generation is not maintained or increased in future years.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Workforce & OD	2,399	0	(174)	138	2,363	(138)	0	0	2,225	174	79

Workforce and OD Overview

We are forecasting an annual underspend of £174k against budget, which assumes assured savings of £138k will be achieved. The main reason for the underspend relates to staffing underspends arising from vacancies and the over-achievement of income within the service.

Cost Pressures

None to report this quarter.

Cost Underspends

We are forecasting an annual underspend of £174k against budget, mainly arising from staffing underspends due to vacancies and the over-achievement of income within the service.

Cost Reductions

Our costs reductions are assured.

Use of Reserves

We are not planning to call upon reserves.

Other mitigating actions to deliver a balanced budget.

We continue to forecast an underspend at year end.

FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022

ADJUSTMENTS OUTSIDE THE LEDGER

	£'000	FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022			ADJUSTMENTS OUTSIDE THE LEDGER				Final	Sept Variance	June Variance
		Add	Less	Add	Revised	Less	Less	Less			
	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23		
Legal & Democratic Services	1,387	66	(103)	24	1,375	(18)	0	0	1,357	30	49

Legal Overview

We are forecasting an outturn underspend of £49k against budget in June 2022.

Cost Pressures – Zero

Cost Underspends

undalen 48

Corporate Legal & Democratic Services are forecasting an outturn underspend of £49k against budget in June 2022 arising from temporary slippage on Member’s wages budget and general overhead expenditure, an underspend on Democratic Services arising from a pension saving and an underspend on Solicitors due to slippage against the staffing budget.

Cost Reductions

The service has a £203k savings target to achieve in 2022/23, £149k has been achieved to date, £28k is assured to be achieved and £26k is reported yet to be achieved

Use of Reserves

An estimated £193k from the £224k Elections Reserve will be used to Finance the May 2022 Local Elections . An annual budgeted contribution of £36k pa is made to the Elections reserve to pay the Local Elections every 5 years

FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022					ADJUSTMENTS OUTSIDE THE LEDGER				
		Add	Less	Add	Revised	Less	Less	Less	Final

	£'000	2022/23 Base Budget	Add Cost Pressures	Less Cost Underspends	Add Cost Reductions not delivered	Revised Outturn	Less Cost Reductions not yet delivered but assured	Less Specific Reserves with Agreed use	Less Use of Risk Reserve to cover unfunded Pressures	Final Outturn Position 2022/23	Sept Variance	June Variance
Finance & Insurance		6,258	29	(16)	0	6,271	0	0	0	6,271	(13)	41

Finance Overview

The service is expected to deliver a balanced budget this year. The current overspend position is due to staffing costs in pensions that will be funded from the specific ring fenced reserve.

		FORECAST FOR THE YEAR ENDED 31ST MAR 2023 AS PER CP/LEDGER SEPT 2022				ADJUSTMENTS OUTSIDE THE LEDGER					
		Add	Less	Add	Revised	Less	Less	Less	Final		
£'000	2022/23 Base Budget	Cost Pressures	Cost Underspends	Cost Reductions not delivered	Outturn	Cost Reductions not yet delivered but assured	Specific Reserves with Agreed use	Use of Risk Reserve to cover unfunded Pressures	Outturn Position 2022/23	Sept Variance	June Variance
Corporate Activities	38,225	5,583	(5,354)	0	38,454	0	(1,200)	0	37,254	971	1,831

Corporate Overview

Cost Pressures

There is £4,900k included for the pay awards, of which £1,200k will be called on from a specific reserve set aside at last year end. Shortfall on the levies budget for both the Fire and Brecon Beacons National Park of £82k, budgets were agreed before the final inflation uplifts were provided by these organisations. An overspend against Housing Benefit budgets that is being reviewed.

Cost Underspends

£1,900k relates to an underspend on interest on borrowing and MRP. It has improved against the previous forecast due to removing a number of pipeline schemes and delaying other projects to reduce the need for borrowing this year. £810k overachievement of council tax is forecast in part relating to the premiums we have in place, our collection rate has fallen and this may impact this forecast if they remain below plan until year end. £2,000k relates to pulling through the Risk Budget that is held to fund unforeseen pressures such as the expected pay award.

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

5.3

Economy, Residents and Communities Scrutiny Committee

12-12-2022

Report Title:	Strategic Risk Register Report Quarter 2 2022/2023 Cabinet 7 th February 2023
Lead Officer:	Jane Thomas

Key Issues in the report highlighted by Lead Officer

- 2 new risks escalated to Strategic Risk Register.
- 2 new risks escalated to the Strategic Risk Register by EMT approval.
- 13 current Strategic Risks that need scrutiny to aid Cabinet (One out of the thirteen risks have a probability of 'almost certain' and an impact of 'catastrophic'. Also, five risks have a probability of 'likely' and an impact of 'major')

Key Feeders (tick all that apply)

Strategic Risk	<input checked="" type="checkbox"/>	Cabinet Work Plan	
Director / Head of Service Key Issue	<input type="checkbox"/>	External / Internal Inspection	
Existing Commitment / Annual Report	<input type="checkbox"/>	Performance / Finance Issue	
Suggestion from Public	<input type="checkbox"/>	Referral from Council / Committee	
Corporate Improvement Plan	<input type="checkbox"/>	Impacting Public / other services	
Service Integrated Business Plan	<input type="checkbox"/>		
Suggestion from Members	<input type="checkbox"/>		
Partnerships	<input type="checkbox"/>		

Scrutiny Impact (tick all that apply)

Policy Review	<input type="checkbox"/>	Performance	
Informing Policy Development	<input type="checkbox"/>	Evidence Gathering	
Risk	<input checked="" type="checkbox"/>	Corporate Improvement Plan	
Service Integrated Business Plan	<input type="checkbox"/>	Partnerships	
Pre-Decision Scrutiny	<input type="checkbox"/>	Finance / Budget	

Other (please specify)

Suggested scrutiny activity - Committee's Role:

- Request additional information where necessary to ensure comprehensive process has been undertaken.
- Challenge scoring profiles, mitigation and progress made against the managing the risk
- Make informed recommendations to Cabinet

On what specific elements of the report would scrutiny comment add value

- Scoring profiles based on the guidance given in the Risk Management Framework (Do you agree? Are they a fair and appropriate judgement of risk likelihood and impact?)
- Mitigation (Are the control/mitigating actions robust enough for getting the residual risk score down or confidence to close the risk?)
- Progress made against the managing the risk (Does the commentary provided, give confidence that the risk is being managed effectively?)
- Any other comments

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

CYNGOR SIR POWYS COUNTY COUNCIL.

CABINET EXECUTIVE
Tuesday, 7th February 2023

REPORT AUTHOR: County Councillor Cllr David Thomas
Portfolio Holder for Cabinet Member for Finance and Corporate Transformation

REPORT TITLE: Strategic Risk Register Report Quarter 2 2022/2023

REPORT FOR: Decision

1. Purpose

- 1.1 The purpose of this report is to set out the Council's latest position on managing its key risks, contained in the Strategic Risk Register (SRR).

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 has faced and is still 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 Stronger, Fairer, Greener: Our Corporate plan, deliver services more efficiently and 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
 - Review new risks add to SRR

Senior Leadership Team review of Strategic Risk Register

- 3.2 Further to the risk session held with Senior Leadership Team (SLT) on the SRR in July 2022, a dedicated SLT session on health & safety and recruitment & retention including demography was held.

Following this workshop, it was decided not to have an overall health and safety risk on the SRR, as it is currently well managed at a service level and does not warrant strategic oversight. However, as per our Risk Management Framework, any service specific H&S risk that's residual score is 15 or above will be flagged up for consideration to be escalated by SLT.

- 3.3 H&S risks in relation to buildings and assets was also discussed and features later in this report, see section 3.10 and 3.11.
- 3.4 The existing strategic recruitment & retention risk was discussed in detail and strategic mitigation reviewed.
- 3.5 The following climate risk has been created and approved for escalation by the Executive Management Team (EMT) with a dedicated SLT session scheduled to take place in December.

EDR0011 Impact of Climate on our ability to deliver services. Residual score 16.

With potential consequences as follows:

- Exceeding acceptable CO2 emissions
- Increasing demand on flood alleviation and response (including increase demand on resources)
- Increased emissions due to depletion of natural carbon stores and sequestration
- Unable to meet demand for housing linked to land suitability
- Unable to meet future public building needs
- Councils' reputation is hurt if by lack of prevention/resilience planning and being perceived to be a contributor
- Deteriorating river and water way quality
- Increased phosphates due to extreme weather events i.e. flooding
- Investing in adapting service delivery
- Risk to Biodiversity - see Nature Emergency risk
- Negative effect on supply of food, goods and vital services due to climate related collapse of supply chains and distribution networks
- Risks to the people and the economy climate related failure of the power system
- increased risks to human health, wellbeing and productivity from increased exposure to heat, in homes and other buildings
- possible multiple risks to the county from climate change impact from overseas.
- Inadequate planning for unforeseen events

Current mitigation:

- Implement Powys' Climate Strategy
- EMT/SLT dedicated session to take place in December to focus on risk and plan strategic mitigation
- Carbon accounts reporting
- Workstream Action Plans developed
- Engagement with stakeholders and experts

- 3.6 The following nature emergency risk has been created and approved for escalation by EMT with a dedicated SLT session scheduled to take place in December.

HTR0018 Impact of nature emergency on our ability to deliver services.
Residual score 16.

With potential consequences as follows:

- Reduced productivity of agriculture, forestry and fisheries impacting the livelihoods of residents and economic stability
- Reduced food availability through declines in pollination, soil health and soil fertility. These will lead to decreased yields, a decrease in food and fodder production, and a decreased availability of wild foods
- Ecosystems are more susceptible to invasion by pests and diseases. This will reduce the resilience of the natural environment and require investment in pest and disease prevention/control/eradication
- Reduced capacity for land to sequester carbon and thus our ability to tackle the climate emergency – see climate risks (interlinked)
- Reduced capacity for land to perform other basic ecological functions such as water storage, water purification, nutrient cycling and air filtration.
- Deteriorating river and water quality
- Reduced health and wellbeing of residents through increase of diseases, reduced protection against pollution, health effects associated with increased malnutrition and increased exposure to agricultural chemicals, a loss of cultural values, reduced access to traditional medicines, reduced options for future drug development, and poorer mental health
- A decline in tourism due to loss of nature and poor condition of the natural environment
- Unable to meet demand for housing linked to land suitability
- Unable to meet future public building need
- Council's reputation is hurt by lack of prevention/resilience planning and being perceived to be a contributor
- Investing in adapting service delivery

Current mitigation:

- Delivering on our Section 6 duties
- Implementing the Nature Recovery Action Plan with partners

Review of progress to mitigate Strategic Risks

- 3.7 As at the end of quarter 2 2022-2023, there are 13 risks on the strategic risk register and all strategic risk owners have provided a short summary of progress since last quarter, to give assurance that mitigating actions are being actioned and monitored.

- 3.8 Please see appendix A for full details of the 13 strategic risks including the mitigating actions identified to control them and progress reviews.
- 3.9 Please see appendix B to view a heat map which presents the results of the quarter 2 risk assessment process visually. It highlights (for the residual risks) the following:

Six out of the thirteen risks have a probability of 'likely' and an impact of 'major'.

Escalation of risks to the Strategic Risk Register

3.10 Education and PPPP services would like to escalate:

LEAINF0001 Insufficient level of revenue maintenance and major improvement capital funding is likely to result in unsafe and unfit assets within the school property. Residual score 16.

With potential consequences as follows:

- Withdrawal of use of the asset by the school leading to disruption to educational continuity with the partial or full closure of the school

Current mitigation:

- Regular review of the prioritisation and ranking of revenue work and capital improvements to maintain operational and safe schools within the available annual approved budgets
- Preparation of a medium term full 5-year business case for additional annual capital improvements and revenue maintenance funding including all the above issues delivered in parallel with the Transforming Education programme and backlog maintenance compliance budget
- Annual review of the business case for major Improvements and revenue maintenance funding

3.11 Education and PPPP services would like to escalate:

SEM0003 School building stock deteriorates due to the insufficient level of revenue and major improvement capital funding required to maintain them so that they are safe and fit for purpose. Residual score 16.

With potential consequences as follows:

- Disruption to the operational continuity of the building which may either result in the partial or full closure of the school building to ensure the health and safety of all occupants

Current mitigation:

- Implement the school's asset management plan within the budget available and escalate to the Transforming Education Programme

Development work

3.12 A paper was recently taken to SLT regarding a possible power outage and consideration is currently being given to create a power outage related risk (lead by Property, Planning and Public Protection), and what controls are needed to reduce the impact on delivering essential services in the event of it becoming reality.

3.13 Also currently under development is a risk regarding the Councils susceptibility to fraud, the consequences and controls needed.

Service risk scored 15 or above for consideration

3.14 As per our Risk Management Framework any risk that is scored 15 or above must be considered for escalation by SLT. The following risks fall into this category, but it is recommended they are not proposed for escalation as they are being successfully managed on a service risk register:

- PPPP0017 If planning income targets are not achieved there will be a more pressure on the budget and increased pressure on service provision.
- HO0030 Phosphate Restrictions - Rivers Wye and Usk Catchment areas affecting new Council Housing developments (*links with strategic risk: Impact of Climate on our ability to deliver services, however HO0030 is regarding the supply of new homes, the sustainability and the balance of the housing market*).
CS0089 If action is not taken, to improve the financial offer to existing permanent qualified social workers in line with the salaries and other payments being paid by surrounding LAs, supportive systems and a working culture of learning provided (to be able to build resilience), then qualified social workers will continue to leave the workforce. This will add pressures to the budget and have a negative impact on the quality and effectiveness of our interventions with children, young people and their families (*links with strategic risk: If there is insufficient capacity to respond to the longer-term demand in children's and adults' services in timely manner*).
- PPP0014 Phosphate / nutrient exceedances exceeding target level in Special Areas of Conservation for example Rivers Usk and Wye and their tributaries (*links with strategic risk: Impact of Climate on our ability to deliver services however*
- PPPP0015 Health and safety risks associated with the failure to complete statutory compliance work within appropriate time frames (*links with proposed risk for strategic risk register: School building stock deteriorates due to the insufficient level of revenue and major improvement capital funding required to maintain them so that they are safe and fit for purpose*)

Risk appetite

3.15 A draft risk appetite has been written and scheduled for Cabinet approval.

Issues

- 3.16 Following on from School Modernisation piloting the issues module on JCAD, SLT have agreed to start recording issues on JCAD. The actions to manage an issue are operational therefore this is only a formal process of recording issues for governance and is not intended to duplicate the current processes of managing an issue e.g. integrated business planning, business as usual, improvement processes.

4. Resource Implications

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

The Head of Finance (Section 151 Officer) notes the comment above, financial implications are identified through the relevant service and are considered through the financial management processes in line with the authorities' financial regulations. All services are considering the financial impact of any risks that are expected to continue into 2023/24 and beyond in their Service Integrated Business Plans.

5. Legal implications

- 5.1 Legal: Being sought
- 5.2 The Head of Legal and Democratic Services (Monitoring Officer) has commented as follows: Being sought

6. Data Protection

- 6.1 N/A

7. Comment from local member(s)

- 7.1 N/A

8. Integrated Impact Assessment

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

9. Recommendation

It is recommended that Cabinet notes the current Strategic Risk Register and is satisfied with progress against mitigating actions for quarter 2 and approves escalation of LEAINF0001 and SEM0003 (detailed under point 3.10 and 3.11 respectively) to the Strategic Risk Register.

The recommendation above will ensure:

- **Appropriate understanding and management of strategic risks which could prevent us from achieving our objectives**
- **A risk managed approach to decision making and good governance of the Council**

Contact Officer: Jane Thomas, Head of Finance

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Email: Jane.Thomas@powys.gov.uk

Head of Service: Jane Thomas, Head of Finance

Corporate Director: Dr. Caroline Turner, Chief Executive officer.

CABINET REPORT NEW TEMPLATE VERSION 3

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 Reviews	Director or Head of Service			Control or Action	Status
ASC0064 Nina Davies Escalated From :- Powys County Council Tudalen 63	IF WCCIS is not fit for purpose, then it will impact upon service area's ability to carry out operational duties.	<ul style="list-style-type: none"> Veracity of decision making around adults and children in Powys could be compromised, leading to poor outcomes The safeguarding of children and adults in Powys could be compromised There could be significant delays in securing time critical packages of care Our ability to manage transfers of people from hospital to the community could be compromised We may not be able to respond effectively to out of hours emergencies There may be delays in making decisions and taking action to keep children safe Staff morale could be affected, leading to increased sickness absence and staff leaving Potential for reputational damage to the council and negative impact on our ability to recruit and retain social workers. 	03/10/2022 Qtr 2 22/23 Review Summary: Digital Transformation of Social Services Project has been approved and is in progress. The review will include consideration of the possible future options for a data management system. 11/07/2022 1st Qtr 22/23 Review Summary: An options appraisal is being finalised ready for consideration through appropriate channels. 04/04/2022 Qtr 4 21/22 Review Summary: Agreement from Cabinet to move to a soft market testing exercise. In addition, agreement that digital services and corporate change/improvement resource will be deployed to support any transition to a new system and resulting changes to processes/ways of working. 29/12/2021 Review Summary: Independent review and options appraisal of current system has now been completed. HoS for Children's, Adults and Corporate Director meeting with Digital Services in January 2022 to discuss next steps.	Cllr Sian Cox Nina Davies	12	12	<ul style="list-style-type: none"> Internal Review Performance issues raised to Welsh Government through SBAR Monthly Contract review meetings with Supplier Follow correct change management processes 	Action In Progress Action In Progress Action In Progress Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
<p>ASC0066</p> <p>Rachel Evans</p> <p>Escalated</p> <p>From :- Powys County Council</p> <p>Tudalen 64</p>	<p>Risk of Social Care provider failure.</p> <p>Risk of care homes, domiciliary care providers, supported living providers and others becoming unsustainable for human and financial resource challenges</p>	<p>Potential of care services becoming unviable and not sustainable, resulting in requirement to support residents to access different services/care homes etc.</p> <p>Potential of care staff not being paid.</p> <p>Potential of harm to residents in having to be moved or having care provider unavailability.</p> <p>Potential of financial implications to residents, Council and local economy.</p> <p>Potential of reputational damage.</p> <p>Potential of increased failure and a large number of care staff not being paid appropriately</p>	<p>09/11/2022</p> <p>Qtr 2 22/23 Review Summary: Care homes remain fragile but not at imminent risk of failure. All of the mitigations continue, and a contingency plan has been put in place in regard to direct payments service.</p> <p>15/07/2022</p> <p>Review Summary: Amending 3 month review to fall in line with PMQAF timetable.</p> <p>09/05/2022</p> <p>1st Qtr 22/23 Review Summary: The risk continues. There have been recent instances where care providers have closed at short notice.</p> <p>07/03/2022</p> <p>4th Qtr 121/22 Review Summary: The risk continues. However, work is ongoing with care providers in order to ensure that financial fee uplifts for 2022/23 onward are suitable and support sustainability.</p>	<p>Clr Sian Cox</p> <p>Nina Davies</p>	20	16	<ul style="list-style-type: none"> • Direct Payment Support Scheme • Care Home Support • Care Home Staffing and Resilience Review • Joint Support for Residents and Care Homes 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Control In Place

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
CS0081 Sharon Powell Escalated From :- Powys County Council Tudalen 65	BUDGET: If Children's Services are unable to manage within budget due to: - Market sufficiency for children's placements - Reliance on agency social workers - Inflationary costs and management of pressures - Surge in demand due to COVID-19 - Ending of grant funding	Then this will have implications for the whole Council: - Unable to meet statutory duties - Leaving service users at risk - Reputational damage to the Authority - Unable to manage within financial envelope	28/10/2022 Qtr 2 22/23 Review Summary: We are continuing to progress with our Grown Our Own strategy and have recruited 5 NQSWs in November 22. In 2023 we are looking to recruit 10 students in to Qualified roles in November 23. We are looking to develop a different recruitment strategy for residential care workers and Social Workers and unqualified staff as part of our IBP. 12/07/2022 1st Qtr 22/23 Review Summary: Recovery and exit strategy is on going and looking to reshape existing capacity and reduce the need for agency social workers. The grow our own strategy continues to scale up with 5 students qualifying this summer. Review of the IDS service is taking place and will develop the strategies in respect of continuing care. 07/07/2022 Review Summary: admin 25/04/2022 Review Summary: End of the financial year, out turn is an overspend of £57,000 for Children's Services. This is largely due to accessing additional Grant funding but much more positive forecast than previously thought.	Cllr Susan McNicholas Nina Davies	12	9	<ul style="list-style-type: none"> • Ensure market within Powys is sufficient to meet demand • Make best use of Welsh Government Funding and other available resources • Work to reduce reliance on agency social workers • Ensure Continuing Care for Children and Young People protocol being applied correctly and consistently • Integrated budget planning • Develop early intervention and prevention services in order to mitigate demand on longer term services • Ability to meet the requirements of the MTFS / Retaining grant funding around posts within Children's Services • Work with service providers to limit impact of supreme court legal judgement 	Action In Progress Action In Progress Action In Progress Action In Progress Control In Place Control In Place Withdrawn Withdrawn

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
ED0022 Lynette Lovell Escalated From :- Powys County Council Tudalen 66	The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners.	Some schools will have escalating deficits which will have a financial impact on the rest of the Council and the learners in their care.	07/11/2022 Qtr 2 22/23 Review Summary: Through excellent joint working between the finance team and the Schools Service senior managers significant savings have been made which will help ease the internal financial pressures. Further efficiencies are yet to be achieved in specific service areas but through ongoing collaboration and solution driven decision making we hope to reduce the overspend further helping this financial year and next. Covid-19 pandemic continues to place additional pressures on the service and consideration needs to be given regarding the long-term challenges this could bring in certain areas such as ALN. The service is working hard on mitigating financial issues as they arise through the effective use of grants and have managed to alleviate pressures. 10/07/2022 1st Qtr 22/23 Review Summary: Quarter 1 Review: The year end position for schools moved significantly since the previous forecast, this is due to the allocation of over £5.936 million grant to support schools core costs. Schools planned to utilise £0.577m of reserve but actually put in to reserve £5.732m, an overall movement of £6.289m.	<i>Clr Pete Roberts</i> Lynette Lovell	20	16	<ul style="list-style-type: none"> Progress Funding Formula review. Effective use of the Scheme for Financing Schools Implementation of R5 in the PIAP PIAP 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action Completed Action Completed

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 67			<p>18/05/2022 Review Summary: Qtr 4 2021-22:</p> <p>Primary: The forecast contribution from reserves for the Primary Sector is currently £505k which has reduced by £107k since last month.</p> <p>Secondary: The Secondary sector has a forecast contribution to reserves currently of £17k. This has increased by £302k since last month. Officers have been working effectively with the Secondary sector and as a result there is a reduction in deficit balances.</p> <p>All Through: The all age sector has a forecast contribution to reserves of £145k which has increased by £62k since last month.</p> <p>Special: The special sector has a £102k forecast contribution to reserves. This has decreased by £29k since last month.</p> <p>Surgery sessions are ongoing with all schools and school budget positions are being effectively monitored and issues are being escalated quickly by officers.</p> <p>Powys County Council have received a substantial amount of Education grant funding into the Authority during the Spring Term to be spent by the end of the financial year. This may have a positive impact on the schools' delegated outturn position for 2021-22.</p>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 68			<p>12/04/2022 Qtr 4 2021-22 Review Summary:</p> <p>Primary: The forecast contribution from reserves for the Primary Sector is currently £505k which has reduced by £107k since last month.</p> <p>Secondary: The Secondary sector has a forecast contribution to reserves currently of £17k. This has increased by £302k since last month. Officers have been working effectively with the Secondary sector and as a result there is a reduction in deficit balances.</p> <p>All Through: The all age sector has a forecast contribution to reserves of £145k which has increased by £62k since last month.</p> <p>Special: The special sector has a £102k forecast contribution to reserves. This has decreased by £29k since last month.</p> <p>Surgery sessions are ongoing with all schools and school budget positions are being effectively monitored and issues are being escalated quickly by officers.</p> <p>Powys County Council have received a substantial amount of Education grant funding into the Authority during the Spring Term to be spent by the end of the financial year. This may have a positive impact on the schools' delegated outturn position for 2021-22.</p>					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
EDR0011 Diane Reynolds Escalated From :- Powys County Council Tudalen 69	Impact of Climate on our ability to deliver services	-Exceeding acceptable CO2 emissions -Increasing demand on flood alleviation and response (including increase demand on resources) -Increased emissions due to depletion of natural carbon stores and sequestration -Unable to meet demand for housing linked to land suitability -Unable to meet future public building needs -Councils reputation is hurt if by lack of prevention/resilience planning and being perceived to be a contributor -Deteriorating river and water way quality -Increased phosphates due to extreme weather events i.e. flooding -Investing in adapting service delivery -Risk to Biodiversity - see Nature Emergency risk -Negative effect on supply of food, goods and vital services due to climate related collapse of supply chains and distribution networks -Risks to the people and the economy climate related failure of the power system -increased risks to human health, wellbeing and productivity from increased exposure to heat, in homes and other buildings -possible multiple risks to the County from Climate change impact	10/11/2022 Qtr 2 22/23 Review Summary: No change, progress has been made through the further development of the climate workstream plans and the analysis of our carbon accounts	Cllr Jackie Charlton Nigel Brinn	25	16	<ul style="list-style-type: none"> Carbon accounts reporting Implement Powys' Climate Strategy Engagement with stakeholders and experts Workstream Action Plans developed EMT/SLT dedicated session to take place in December to focus on risk and plan strategic mitigation 	Action In Progress Action In Progress Action In Progress Action In Progress Action In Progress

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 70		from overseas. -Inadequate planning for unforeseen events						

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
FIN0001 Jane Thomas Escalated From :- Powys County Council Tudalen 71	The Council is unable to deliver a financially sustainable budget over the short and medium term. The continued impact of Covid coupled with the more recent events around rising inflation, energy costs and the situation in Ukraine impacting on supply chains and prices all increase the risk on the Council financial resilience.	<ul style="list-style-type: none"> - The Council is unable to fulfil its legal obligation in setting a balanced budget - The Council will not be financially resilient or sustainable - Council reputation damaged - Inability to fulfil our statutory obligations - Inability to deliver the Council objectives 	<p>02/11/2022 Qtr 2 22/23 Review Summary: A significant amount of work has been completed during September and October on the MTFs and the development of the budget plans. Assumptions have been revised and all services have completed their service FRM's setting out the budgetary pressures they face. An approach to allocate the estimated additional funding from RSG and CT has been implemented and Services have developed proposals as to how the remaining budget gap for each service can be managed. The SLT and Cabinet continue to progress this work. The Autumn statement expected on the 17th November will provide more clarity on the funding levels we can expect for next year.</p> <p>07/07/2022 1st Qtr 22/23 Review Summary: SLT and Cabinet have started to consider the impact of this years budget setting and pressures arising, ongoing meetings and completion of the FRM by the end of August should allow time to consider how the budget gap will be addressed.</p> <p>04/04/2022 4th Qtr 21/22 Review Summary: The council has approved the revenue budget for 2022/23 and the financial position for the new year will be monitored through the existing reporting mechanisms. EMT will begin reviewing the 5 year budget plan in April to address the ongoing budget gap for the next few years. Indicative funding settlements for the next 2 years do provide some certainty but we cannot underestimate the challenge that still remains. Rising inflation, energy costs and supply chain issues arising from the war in Ukraine will provide further challenge during 2022/23.</p> <p>21/01/2022 Review Summary: Decision taken by EMT and gold command to stand down on qtr 3 21/22 reporting</p>	Cllr David Thomas Jane Thomas	<div style="background-color: #ff0000; color: white; padding: 2px; display: inline-block;">25</div>	<div style="background-color: #ff0000; color: white; padding: 2px; display: inline-block;">16</div>	<ul style="list-style-type: none"> • Revise the Medium Term Financial Strategy • Ongoing discussion with WG and WLGA through Society of Welsh Treasurers for Future Funding of Local Government • Instruction to all services across the council to pull back on expenditure through 2022/23 to manage the projected deficit • Service Integrated Business Plans will be reviewed and refreshed • Keen focus on procurement issues - sharing information and knowledge across the LA/WLGA network • WG claims for Hardship and lost income continue and expect to remain in place til march 2021 • Cell in place to monitor rising costs, supply chain issues and sharing of information across the Council • Regularly monitor and review the financial position on monthly basis. • Cost Recovery work • 3rd party spend reduction • Income Generation • Monthly reports to cabinet and Management Team on budget progress and progress on savings • Budget Challenge Events • Moved to a 3 year balanced budget • Reassessment of the activities of the Council through the Recovery Coordination Group • Review budget position at end of first quarter and consider changes to the 2020/21 budget 	<ul style="list-style-type: none"> Action In Progress Action In Progress Action In Progress Action Completed Action Completed Action Completed Control In Place Control In Place Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn Withdrawn

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
HTR0018 Matthew Perry Escalated From :- Powys County Council Tudalen 72	Impact of nature emergency on our ability to deliver services	<ul style="list-style-type: none"> Reduced productivity of agriculture, forestry and fisheries impacting the livelihoods of residents and economic stability. Reduced food availability through declines in pollination, soil health and soil fertility. These will lead to decreased yields, a decrease in food and fodder production, and a decreased availability of wild foods. Ecosystems are more susceptible to invasion by pests and diseases. This will reduce the resilience of the natural environment and require investment in pest and disease prevention/control/eradication. Reduced capacity for land to sequester carbon and thus our ability to tackle the climate emergency – see climate risks (interlinked) Reduced capacity for land to perform other basic ecological functions such as water storage, water purification, nutrient cycling and air filtration. Deteriorating river and water quality. Reduced health and wellbeing of residents through increase of diseases, reduced protection against pollution, health effects associated with increased malnutrition and increased exposure to agricultural chemicals, 	10/11/2022 Qtr 2 22/23 Review Summary: The control actions for this risk are under way, being delivery against the Powys Nature Recovery Action Plan and the Council's duties under section 6 of the Environment (Wales) Act 2016. Both of these actions are highly dependent on external funds and a Biodiversity officer being in place to provide the specialist advice and support to internal Council Services and external partners for delivery.	Cllr Jackie Charlton Nigel Brinn	25	16	<ul style="list-style-type: none"> Delivering on our Section 6 duties Implementing the Nature Recovery Action Plan with partners 	Action In Progress Action In Progress

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 73		<p>a loss of cultural values, reduced access to traditional medicines, reduced options for future drug development, and poorer mental health.</p> <ul style="list-style-type: none"> • A decline in tourism due to loss of nature and poor condition of the natural environment. • Unable to meet demand for housing linked to land suitability. • Unable to meet future public building needs. • Council's reputation is hurt by lack of prevention/resilience planning and being perceived to be a contributor. • Investing in adapting service delivery. 						

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 76							<ul style="list-style-type: none"> • Cyber Security Certification • Staff Training • Detection and Response Tools 	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 Reviews	Director or Head of Service			Control or Action	Status
PCC0005 Nigel Brinn	The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic	Increased staff absenteeism; Increase demand for services from residents Increased workload for council staff as a result of staff absence and increased service demand Closure of Council premises resulting in reduced services to residents and office accommodation	<p>09/11/2022 Qtr 2 22/23 Review Summary: On behalf of Nigel Brinn. Cases continue to impact the community and a reduced TTP team continue to trace the vulnerable and Health and Social Care. This risk will remain on the register whilst we monitor the impact of COVID and other ILI's (influenza like illnesses) associated with winter planning 2022/2023.</p> <p>15/07/2022 Review Summary: amending date to fall in line with PMQAF</p> <p>08/07/2022 1st Qtr 22/23 Review Summary: Cases continue to impact the community and a reduced TTP team continue to trace the vulnerable and Health and Social Care. This risk will remain on the register whilst we monitor the impact over the Autumn/Winter 2022/2023</p> <p>27/05/2022 Review Summary: Case numbers have significantly reduced on the CRM but there is still evidence of cases within the Community. Due to the vaccine, these cases are not impacting the Council as they were at the beginning of the Pandemic. This case will remain on the register whilst we monitor the impact over the Autumn/Winter 2022/2023</p>	Cllr James Gibson-Wat Nigel Brinn	16	9	<ul style="list-style-type: none"> Update Business Continuity Plans (at Service and Corporate Level); Establishment of an Internal Silver Command Powys County Council Representation on Powys Teaching Health Board Gold and Silver Command; Liaison with all Local Resilience Forum (LRF) Partners; PCC Liaison with Welsh Government and Public Health Wales; Communication and engagement with schools. Communications to residents, staff and members 	<ul style="list-style-type: none"> Action Completed Action Completed 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 Reviews	Director or Head of Service			Control or Action	Status
PROC0008 Wayne Welsby Escalated From :- Powys County Council Tudalen 79	Russian Invasion of Ukraine and Other Market Pressures leading to Increased risks of price variations and labour & material shortage caused by rising inflation.	Effect on capital and revenue budget but mainly affecting supplies of materials relating to any contract or project. Unable to deliver statutory and non statutory services which could result in a backlog of work, reputational damaged, quality of buildings and knock-on consequences. Examples of a key consequence: delayed or cancelled housing development reduces capacity to address homelessness and other housing needs, Delays or affordability of delivery of schools transformation etc	14/09/2022 Qtr 2 22/23 Review Summary: Ukraine cell continues to meet and to consider increase particularly those outside of current budget. Register of increase is maintained and is up to date as far as is known (relies upon services notifying us of any change). 13/07/2022 1st Qtr 22/23 Review Summary: The Ukraine Cell continues to meet and requests for increases are managed through the processes put in place and maintain delivery and manage budget pressures with services. 13/04/2022 Qtr 4 21/22 Review Summary: A Ukraine/ Price Volatility Cell has been set up with terms of reference. Proformas to identify pressure has been drafted and to consider effects on budgets. The group will meet fortnightly in the first instance to address any which impact on front line service delivery and to report to EMT/Gold as required 22/12/2021 Review Summary: This risk still being monitored and managed where requests for increase being made. Commercial Services is advising services when required to minimise effect and consider company pressures against inflationary indices. The overall effect is minimal but in light of increasing inflation this may then show increases on tendered costs and so will be continually monitored.	Cllr David Thomas Jane Thomas	15	12	<ul style="list-style-type: none"> Material substitution Develop a Process for approval by S151 officers for minimising effect of Price Increases Value engineering Ukraine Cell Set up to report to Gold on consequences and to manage Re-evaluate project timescales 	Action In Progress Action In Progress Control In Place Control In Place Withdrawn

Strategic Risk Register				<i>Portfolio</i>	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
WO0021 Paul Bradshaw Escalated From :- Powys County Council Tudalen 80	If the Council is unable to recruit, retain and commission the workforce it requires, in the short term due to increased staff absences and a challenging UK labour market, and in the longer term due to an expected long term decrease in the local working age population	<ul style="list-style-type: none"> •The Council will be unable to secure the services needed by the local population, including care and assessment provision, education, waste, highways, housing culture and support services. •Services may not be able to respond to and fully meet increasing demand. •Services also may not be able to deliver their normal / planned levels of service provision. Where this is acute or could lead to the inability of the Council to deliver statutorily required services, the Council may need to temporarily step-down elements of its non-business critical activities in order to deploy staff to business-critical work. 	<p>26/09/2022</p> <p>Qtr 2 22/23 Risk Review: The Workforce Futures Strategic Framework is in place / being implemented by partners.</p> <p>The Council's Transforming Education Programme with its ten-year strategy is also being implemented.</p> <p>To respond to the tight UK labour market, a high level resourcing group has been established to ensure that the Council takes every possible step to recruit, retain and develop the workforce needed, including grow our own staff. This group will be working with SLT in delivering an agreed plan.</p> <p>The Council has established an apprenticeship programme in place which continues to be progressed with 6 offered in Q2.</p> <p>In Social Care a much-enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition, we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> - an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and people trying to access employment in the sector) - making use of governmental schemes - Apprenticeships – by widening the apprenticeship offer - Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment 	<i>Cllr Jake Berriman</i> Paul Bradshaw	25	16	<ul style="list-style-type: none"> • increase use of direct payments and the dynamic purchasing system are intended to secure more creative approaches • Telehealth and telecare • To further develop the Council's recruitment practice, site and campaigns to best promote employment opportunities • Establish a cross Council Resourcing Group to oversee and resolve recruitment needs • Conduct research to understand the workforce profile in health and social care • Developing a health and care workforce for the future • Growing our own workforce, including the scoping of a rural academy of learning which would offer social care qualifications t • Investigation of the Apprenticeship framework to see what can be offered to younger people to attract them into social care • Formal partnership with the Open University and secondment of students • Improving the skills and employability of young people and adults • Promoting Powys as a place to live, visit and do business • Support communities to be able to do more for themselves and reduce demand on public services • Developing digital solutions and services • Developing a workforce strategy which ensures Council is an excellent employer • Develop an Adults' Service recruitment and retention strategy , based on a strong brand promoting positive values and working/I • To maintain rolling adverts for key staff and to link the adverts to relevant sites / job boards • To activate the Emergency Plan as may be required in order to facilitate the move of resources to business critical work • To internally deploy staff from non business critical work to business critical activities where possible. • To develop and run a national recruitment campaign to best attract candidates to social care roles • Improving skills and supporting people to get good quality jobs • Improving education attainment of all pupils • Consideration of a joint bank of staff available to maintain staffing levels and reduce risk • Build better connections with Powys schools & universities within Wales & just across the border in order to attract students 	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 Action In Progress 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

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 81			<p>01/07/2022</p> <p>1st Qtr 22/23 Review Summary: The Workforce Futures Strategic Framework is in place and is being implemented. The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented. The Council has established an apprenticeship programme which continues to be progressed, with discussions continuing with services about the recruitment of further apprentices across PCC.</p> <p>In Social Care a much enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> - an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector) - any available governmental schemes, such as the former Kickstart programme - Apprenticeships – by widening the apprenticeship offer - Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment - Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework) 					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 82			<p>01/04/2022</p> <p>Review Summary: The Workforce Futures Strategic Framework is in place and is being implemented.</p> <p>The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented.</p> <p>The Council has established an apprenticeship programme which is being progressed and the numbers recruited being ahead of target (i.e. 11 against the 10 planned).</p> <p>In Social Care a much enhanced grow our own programme for the next 5 years is in place and being implemented for social workers</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> - an employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector) - any available governmental schemes, such as the former Kickstart programme - Apprenticeships – by widening the apprenticeship offer - Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment - Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework) 					

Strategic Risk Register				Portfolio	Inherent	Residual	Controls and Actions	
Ref & Owner	Risk Identified	Potential Consequence	Last Reviews	Director or Head of Service			Control or Action	Status
Tudalen 83			<p>12/01/2022</p> <p>Qtr 4 21/22 Review Summary: The Workforce Futures Strategic Framework is in place and is being implemented. The Council's Transforming Education Programme which sets out a ten year strategy is also being implemented. The Council has established an apprenticeship programme which is being progressed albeit progress has been adversely impacted to a degree by the COVID19 pandemic In Children's Services an enhanced grow our own programme is in place and being implemented for social workers</p> <p>In addition we are widening access to the health and care sector in Powys by / through:</p> <ul style="list-style-type: none"> - the Arwain Employability skills hub project (NPTC delivering employability skills training to a range of groups including staff currently within the health and care system, carers, volunteers and new staff trying to access employment in the sector) - the Kickstart programme (government initiative to provide work experience to 16-24 years through a 6 month fully supported work placement) - Apprenticeships – widening the apprenticeship offer in Social care 5 additional post in this financial year - Access for carers and volunteers to statutory education packages (NHS E-learning) to start a foundation of learning pre-employment - Exploring a health and social care induction framework that provides the foundation skills for Health Care Support Workers coming into the sector (programme aligned to the SCW induction framework and Health clinical induction framework) 					

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

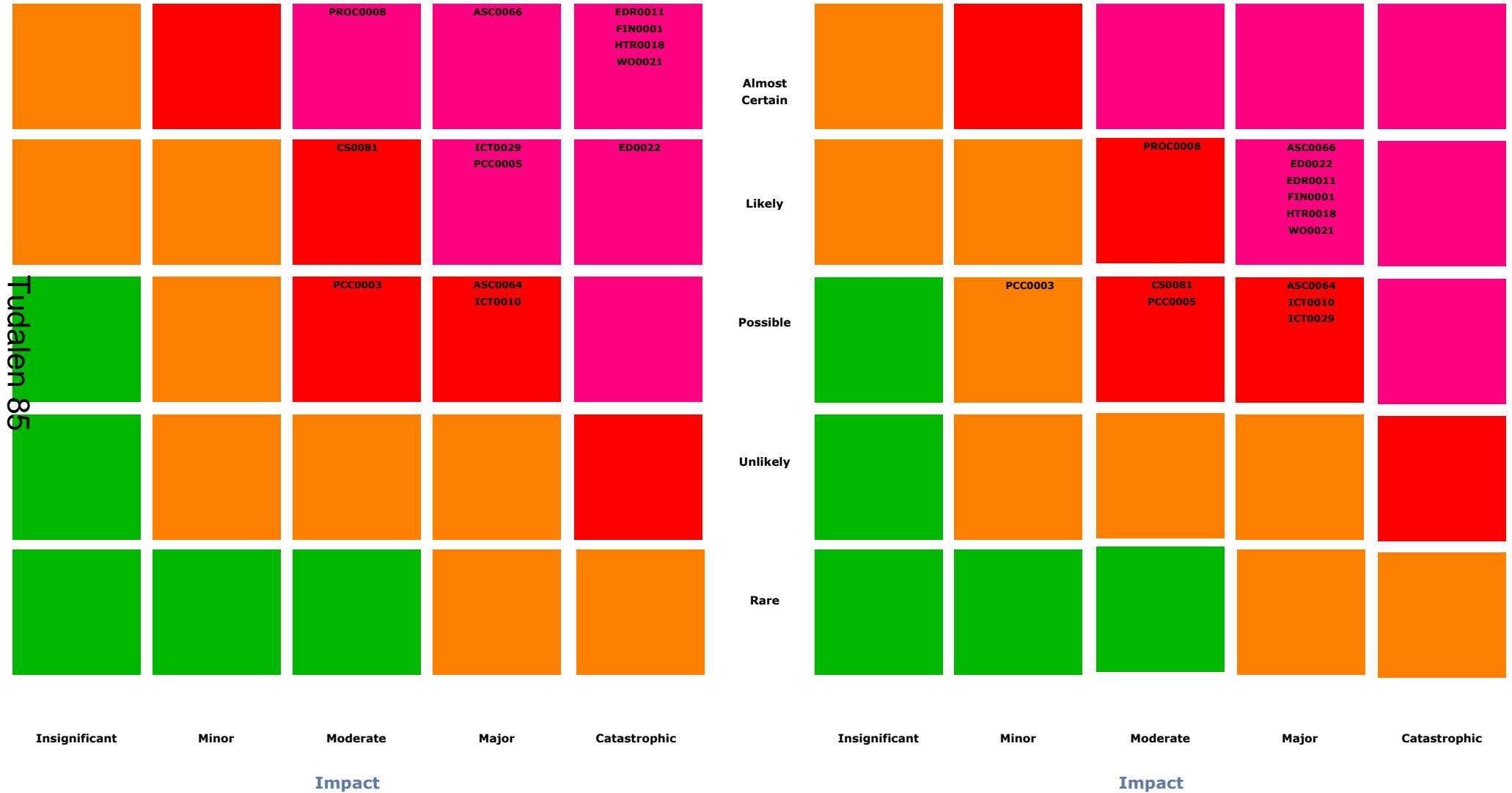
Heatmap Inherent and Current



Inherent Ratings Summary Heatmap

Residual Ratings Summary Heatmap

Probability



Detailed Risk Information

Residual and Target Rating Changes since 03/06/2022

Risk Ref	Risk Identified	Owner	Service Area	Prev Inherent	->	Inherent Rating	Prev Residual Rating	->	Residual Rating
EDR0011	Impact of Climate on our ability to deliver services	Diane Reynolds	Powys County Council	No Previous		25	No Previous		16
FIN0001	The Council is unable to deliver a financially sustainable budget over the short and medium term. The continued impact of Covid coupled with the more recent events around rising inflation, energy costs and the situation in Ukraine impacting on supply chains and prices all increase the risk on the Council financial resilience.	Jane Thomas	Powys County Council	16	↗ ₉	25	12	↗ ₄	16
HTR0018	Impact of nature emergency on our ability to deliver services	Matthew Perry	Powys County Council	No Previous		25	No Previous		16
WO0021	If the Council is unable to recruit, retain and commission the workforce it requires, in the short term due to increased staff absences and a challenging UK labour market, and in the longer term due to an expected long term decrease in the local working age population	Paul Bradshaw	Powys County Council	25	→	25	16	→	16
ASC0066	Risk of Social Care provider failure. Risk of care homes, domiciliary care providers, supported living providers and others becoming unsustainable for human and financial resource challenges	Rachel Evans	Powys County Council	20	→	20	16	→	16
ED0022	The council will be unable to manage the schools' budget without ongoing adjustments to the distribution formula and improving financial management. If they are unable to manage the budget, there will be a significant compromise to the quality of education for Powys learners.	Lynette Lovell	Powys County Council	12	↗ ₈	20	9	↗ ₇	16
ICT0029	Cyber Security Threat. Risk of financial loss, disruption or damage to the reputation of Powys County Council from a failure of its information technology systems and or/loss of Data due to a cyber attack or Incident.	Diane Reynolds	Powys County Council	16	→	16	12	→	12
PROC0008	Russian Invasion of Ukraine and Other Market Pressures leading to Increased risks of price variations and labour & material shortage caused by rising inflation.	Wayne Welsby	Powys County Council	15	→	15	12	→	12
ASC0054	IF WCCIS is not fit for purpose, then it will impact upon service area's ability to carry out operational duties.	Nina Davies	Powys County Council	20	↘ ₋₈	12	20	↘ ₋₈	12
ICT0010	Non compliance with data protection legislation UK General Data Protection Regulations (GDPR) and Data Protection Act (DPA) 2018	Diane Reynolds	Powys County Council	12	→	12	12	→	12
PCC0005	The impact to Powys residents, services and Council staff as a result of a COVID-19 (Coronavirus) epidemic	Nigel Brinn	Powys County Council	16	→	16	9	→	9
CS0081	BUDGET: If Children's Services are unable to manage within budget due to: - Market sufficiency for children's placements - Reliance on agency social workers - Inflationary costs and management of pressures - Surge in demand due to COVID-19 - Ending of grant funding	Sharon Powell	Powys County Council	12	→	12	9	→	9
PCC0003	IF the council receives a negative regulatory / inspection report, then - we might be found failing in meeting regulatory and legislative duties - it could affect our ability to provide a good quality of service, to the People of Powys - it could affect our ability in managing demand on the service - it might have a negative effect on recruitment and retention of staff - we could experience poor staff morale - we could suffer reputational damage	Caroline Turner	Powys County Council	12	↘ ₋₃	9	9	↘ ₋₃	6

Report Selection Criteria

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

2023

Date and Time	Type and Detail
13-01-23 09.00 – 10.00	Pre-Meeting
13-01-23 10.00 – 12.30 (Possibly 27 th Jan)	Public Meeting Well Being Assessment – relevant sections New CIP – relevant sections for scrutiny Performance and Risk Q3 Finance
Jan	Work Programming
31-01-23 13.00 – 14.00	Pre-Meeting
31-01-23 14.00 – 16.30	Public Meeting Budget Scrutiny Legacy children's cases (Confidential)
10-02-23 13.00 – 14.00	Pre-Meeting (if required)
10-02-23 14.00- 16.30	Public Meeting Alternative Budget
31-03-23 09.00 – 10.00	Pre-Meeting
31-03-23 10.00 - 12.30	Public Meeting Number of residential placements/costs/strategy for bringing children closer to home (Childrens Extra care strategy and delivery of strategy – including potential questionnaire to service users (Adults)
Mar	Self-Assessment
02-06-23 09.00 – 10.00	Pre-Meeting

Date and Time	Type and Detail
02-06-23 10.00 – 12.30	Public Meeting Election of Vice Chair Q4 Performance and Risk Q4 Finance Discussion with health (Confidential)
	Work Programming
17-07-23 09.00 – 10.00	Pre-Meeting
17-07-23 10.00 – 12.30	Public Meeting Annual Complaints Report Annual Report of the Director of Social Services
22-09-23 09.00 - 10.00	Pre-Meeting
22-09-23 10.00 – 12.30	Public Meeting Direct Payments – strategy and future plans/ impact on outcomes including potential questionnaire to service users
03-11-23 09.00 – 10.00	Pre-Meeting
03-11-23 10.00 – 12.30	Public Meeting Q2 Performance and Risk Q2 Finance
01-12-23 09.00 – 12.30	Pre-Meeting
01-12-23 10.00- 12.30	Public Meeting