

CYNGOR SIR POWYS COUNTY COUNCIL.

Audit Committee

5th April 2017

**REPORT AUTHOR: County Councillor Wynne Jones
Portfolio Holder for Finance**

SUBJECT: Regulatory Tracker Update QTR3 16/17

REPORT FOR: Information & Decision

Summary

1. Regulatory Tracker

1.1 This overview report summarises progress with regards to recommendations received from the Council's regulators, predominantly Wales Audit Office (WAO), Estyn and Care & Social Services Inspectorate (CSSIW). In considering the report and appendices, the council should be satisfied that:

- Appropriate action is being taken in response to recommendations received.
- Where actions are complete and desired outcomes achieved or embedded as required, recommendations may be archived in the tracker with approval from Strategic Overview Board and Management Team with evaluation from Audit Committee.
- New recommendations are appropriate for inclusion in the tracker.

1.2 The Tracker will be a fixed agenda item on both Management Team and Strategic Overview board. The tracker will be referred to Audit Committee for review to provide challenge and for evaluation.

2. Overview of Regulatory Tracker

At end of Qtr3 2017, the overview of the tracker provides the following view of progress against National and Local recommendations received.

Status	Description	Recommendations	National Studies	National Studies %	Local Studies	Local Studies %	Combined Total %
1	Total Number of Recommendations.	79	57	72%	22	28%	100%
2	Recommendations were planned, action is complete and ready for sign off by Audit Committee	11	11	100%	0	0%	100%
3	Actions on track	50	31	62%	19	38%	100%
4	Actions mainly on track – some minor issues	7	6	85%	1	15%	100%
5	Actions not on track – with major issues or no planned action undertaken to date.	9	7	78%	2	22%	100%

The table above positively reflects the Councils continuous effort to respond and implement recommendations made by our regulators where applicable.

Of the **79** recommendations made in Local and National studies the Council have currently implemented **11** (11 National and 0 Local) with a subsequent **50** (31

National and 19 Local) recommendations on track to implementation this equates to **83.5%** of the total recommendations.

Of the **79** recommendation **9** (7 National and 2 Local) are not on track or have major issues or no planned action undertaken to date this equates to **11.3%** of the total recommendations.

The Council received 1 National regulatory report from WAO in QTR3; “***Checklist for local authorities effectively engaging and working with the third sector***” This report will follow the agreed tracker process, the recommendations will then be added to the monitoring tracker and will appear in the 4th quarter report to SOB.

The **39** Recommendations RAG'd Blue at the end of QTR2 have been archived in accordance with the tracker process having approval from Audit Committee **3rd February 2017**. These recommendations can be found on the blue tabs within the tracker spreadsheet.

3. Red Recommendations Requiring action

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
P1,P2	Extend its financial monitoring arrangements to include service performance data to ensure that expected service standards are not being compromised at the expense of securing financial savings.	AIR Local Study	01/08/2015 01/10/2014	Finance	Developing performance data in conjunction with BI. Looking into early development of integration of BI data into financial reporting on a quarterly basis.	Jane Thomas
CSSIW9	The first contact arrangements via the Powys People Direct should be further developed to ensure it can provide the appropriate level of response, advice, support and information for adult services and therefore reduce the need for an additional duty response at team level.	Local Study	01/05/2015	Adult Services	The CSSIW report highlighted a series of risks around Powys People Direct, (our single point of access). As a service we are aware of the challenges of embedding a new way of working. During the transition arrangements it was a key safeguard that the care management teams provide support to ensure effective skill sharing and knowledge transfer to PPD. The service is currently working to continue to improve the skill levels and confidence of staff within PPD and recruit a permanent workforce/ succession plan for key positions within the service.	Jen Jeffreys
R1R6	Undertake regular self-evaluation of scrutiny utilising the 'outcomes and characteristics of effective local government overview and scrutiny' developed by the Wales Scrutiny Officers' Network.	National Study	01/05/2014	Scrutiny	Intention to draft a plan and undertake self-evaluation to respond to the national review in Autumn 2018. This will allow time for Purdah, election and post-election settlement, member training and appointment of new scrutiny committee members before looking at the self-evaluation once the environment is stable.	Wyn Richards
Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
	Councils need robust arrangements to monitor efficiency savings and to demonstrate that services provide value for money. Many councils do not have robust evidence of their efficiency gains. Most public bodies have developed plans for				This area needs further development, the development of performance data is required to provide before and after position.	

R5	efficiency gains projects and can demonstrate cost savings. However, they are often unable to demonstrate that savings have been generated by becoming more efficient. They are also frequently unable to show that service level and quality is being maintained or, where services have been cut, that those cuts followed a rational analysis of priorities.	National Study	28/01/2014	Finance		Jane Thomas
R4	Local authorities should develop Key Performance Indicators to monitor the MTFP.	National Study	18/08/2016	Finance	To be progressed. Comparisons of assumptions included for forward projections around funding levels, inflation, pressures etc. against and the actual position.	Jane Thomas
R1	Improve strategic planning to better co-ordinate activity for community safety by replacing the existing planning framework with a national strategy supported by regional and local plans that are focused on delivering the agreed national community-safety priorities.	National Study	01/10/2016	Community Safety	On the 7th February 2017, WG announced a Review of Community Safety:- There are currently no agreed national community-safety priorities. Priorities are determined via a LA area joint strategic assessment which is a statutory requirement of the Crime and Disorder Act 1998	Fay Smith
R2	Improve strategic partnership working by formally creating effective community-safety boards that replace existing community-safety structures that formalise and draw together the work of Welsh Government, police forces, local authorities, health boards, fire and rescue authorities, WACSO and other key stakeholders.	National Study	01/10/2016	Community Safety	No communication yet from WG or PCC (Police Crime Com) in relation to the forming of CS boards. Existing non-devolved legislation relating to CSP structures:- The Police and Justice Act 2006 – brought in the “Crime and Disorder Scrutiny Committee”. The CSP Strategy Group – is a statutory requirement of the Crime and Disorder Act 1998 – and it falls to the responsible authorities within a local government area.	Fay Smith
R5	Ensure effective management of performance of community safety by: • setting appropriate measures at each level to enable members, officers and the public to judge progress in delivering actions for	National Study	01/10/2016	Community Safety	WG have announced a Review of Community Safety – not yet commenced. The legislation covering CSPs and how they operate is from UK Government.	Fay Smith

	<p>community-safety services;</p> <ul style="list-style-type: none"> • ensuring performance information covers the work of all relevant agencies; and • establishing measures to judge inputs, outputs and impact to be able to understand the effect of investment decisions and support oversight and scrutiny. 				<p>Police, Trading Standards and CSPs are not devolved.</p> <p>CSPs have duties to report to Crime & Disorder Scrutiny Committees, plus produce annual joint strategic assessments which determine priorities drawn from national, regional and local data.</p>	
R7	<p>Improve engagement and communication with citizens through Public Service Boards in:</p> <ul style="list-style-type: none"> • developing plans and priorities for community safety; • agreeing priorities for action; and • reporting performance and evaluating impact. 	National Study	01/10/2016	Community Safety	<p>Powys CSP used to report to the LSB. The new governance arrangements are that the CSP reports to PSB Leadership Team.</p> <p>This recommendation is identified as an action for the PSB. Therefore as CSP Co-ordinator I cannot answer further.</p>	Fay Smith

4. Blue Recommendations proposed to be archived

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
R1R7	Implement scrutiny improvement action plans developed from the Wales Audit Office improvement study.	National Study	01/05/2014	Scrutiny	<p>Original draft action plan prepared and considered by the Joint Chairs and Vice-Chairs Steering Group. The draft plan was considered to be too demanding in terms of number of objectives to be met within too short a timescale and the Scrutiny Manager was asked to revise it. At the beginning of 2016 the Council was advised of a WAO corporate assessment which would involve scrutiny. As a result the Joint Chairs and Vice-Chairs and officers have been considering proposals including a re-prioritisation of the scrutiny work programme and looking at other processes such as establishing a process to undertake more pre-decision reviews of items prior to their being considered by the cabinet. There is also a drive to improve the way that scrutiny comments are forwarded to the Cabinet to ensure that they are included in cabinet papers and hence in the public domain.</p> <p>Monitor the changes made in 2016 to ensure that the work programme is not too onerous and that the impact of scrutiny is made more apparent.</p>	Wyn Richards
R1R8	Adopt Participation Cymru's 10 Principles for Public Engagement in improving the way scrutiny engages with the public and stakeholders.	National Study	01/05/2014	Scrutiny	<p>Went to joint chairs given approval 17th January</p> <p>Scrutiny will seek in the future to engage with the public and stakeholders using the Participation Cymru's 10 Principles and continually improve this practise.</p>	Wyn Richards
R2R1	Together with partners, map and review expenditure on NEETs services to better understand the resources required to deliver the Framework.	National Study	01/07/2014	Education/ Youth Service	<p>Responsibility for monitoring and reviewing the range of provision available sits with the youth engagement & progression partnership board.</p> <p>Collaborative working in the Mid & West Wales region has informed the preparation of two ESF</p>	Freddy Greaves

					<p>bids to support the Youth Engagement & Progression Framework and identified what additional provision & support will be required for young people who are or at risk of becoming NEET or are already NEET.</p> <p>Ongoing consideration of provision including referral routes and avoiding duplication sits within the two main areas of youth engagement work 1) early identification/ school work 2) NEET management.</p>	
R2R2	Clarify their strategic approach to reducing the proportion of 19 to 24 year olds who are NEET as well as their approach for 16 to 18 year olds.	National Study	01/07/2014	Education/ Youth Service	Regular dialogue and meetings with Careers Wales to identify young people who are NEET using the Careers Wales '5 tier model'. Powys has a well-established Families First funded 'Team Around the Family / Young Person' model to support young people including those who are NEET. The Youth Service deploys detached youth workers to identify and work with young people age 16-24 who are NEET.	Freddy Greaves
R2R3	Focus on young people with significant or multiple barriers to engaging with education, employment or training rather than those who are more likely to re-engage without significant additional support.	National Study	01/07/2014	Education/ Youth Service	Powys has a well-established Families First funded 'Team Around the Family / Young Person' model to support young people with barriers to learning including using a Common Assessment Framework (CAF). This is integrated in the YEPF.	Freddy Greaves
R2R4	Develop their objectives and targets for reducing the number of young people NEET so that they can be held to account and their work aligns with the Welsh Government's targets and objectives.	National Study	01/07/2014	Education/ Youth Service	<p>Target that the number of young people who leave statutory education who are NEET remains below 3% is a target / priority in the Powys One Plan.</p> <p>Continue to monitor this and the effectiveness of the YEPF, particularly around the identification and support provided to young people at risk of becoming NEET.</p>	Freddy Greaves
R2R6	Improve the evaluation of the effectiveness and relative value for money of the services and interventions in their area that are intended to reduce the proportion of young people who are NEET.	National Study	01/07/2014	Education/ Youth Service	All interventions for young people who are supported following the completion of an assessment (CAF) have the intervention measured through the use of a distance travelled tool.	Freddy Greaves

R4R1	Improve strategic planning and better co-ordinate activity to tackle the impact of welfare reform on social housing tenants by ensuring comprehensive action plans are in place that cover the work of all relevant council departments, housing associations and the work of external stakeholders.	National Study	01/01/2015	Welfare Reform	Comprehensive strategic action plans are in place to deliver welfare reform strategies and have been embedded into business as usual	David Morris
R4R2	Improve governance and accountability for welfare reform by: <ul style="list-style-type: none"> • appointing member and officer leads to take responsibility for strategic leadership on welfare reform and be accountable for performance; and • ensuring members receive adequate training and regular briefings on welfare reform to be able to challenge and scrutinise performance and decisions. 	National Study	01/01/2015	Welfare Reform	A project governance board consisting of appropriate lead officers for the council and cabinet members is in place. Members have and will be receive regular briefings on welfare reform and will also receive training and awareness sessions. continuing 16/17	David Morris
R2R3	Ensure effective management of performance on welfare reform by: <ul style="list-style-type: none"> • setting appropriate measures to enable members, officers and the public to judge progress in delivering actions; • ensuring performance information covers the work of all relevant agencies and especially housing associations; and • establishing measures to judge the wider impact of welfare reform. 	National Study	01/01/2015	Welfare Reform	Performance measures on the implementation of the welfare reform strategy are in place and a governance board has oversight	David Morris
R2R4	Strengthen how welfare-reform risks are managed by creating a single corporate-level approach that coordinates activity across the Council and the work of others to provide adequate assurance that all the necessary and appropriate actions to mitigate risk are taking place.	National Study	01/01/2015	Welfare Reform	Awareness and training has been conducted to ensure all service areas are aware and trained to a single integrated approach. This has been strengthened through briefing notes, publicity and awareness strategies.	David Morris

5. Extract (DRAFT) minutes from Strategic Overview Board 21/03/2017

REGULATORY RECOMMENDATION TRACKER
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The Board considered a tracker of recommendations made by regulators and noted 9 that required further attention.

The Board noted that recommendation that Local authorities should develop Key Performance Indicators to monitor the MTFP needed to be progressed and suggested that this could be something for the Finance Scrutiny Panel to look into.

The Strategic Director – Place would provide a response in relation to the recommendations in respect of the Community Safety Panel.

6. Statutory Officers

The Strategic Director Resources (S151 Officer) notes the report.

The view of the Strategic Director of Resources is that:

Recommendation:	Reason for Recommendation:
Recommendation 1: Audit Committee agree that the 11 recommendations (status blue) suggested to be archived by Strategic Overview Board are approved to be archived.	Recommendations were planned, action is complete and desired outcomes have been achieved / embedded as required.
Recommendation 2: Audit Committee review and challenge Strategic Overview Board and provide comment where necessary.	Ensure there is sufficient scrutiny and challenge with regards to the councils response to regulator recommendations.

Relevant Policy (ies):			
Within Policy:	Y	Within Budget:	Y
Relevant Local Member(s):			
Person(s) To Implement Decision:			
Date By When Decision To Be Implemented:			

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