

's' Recommendations: Response / Action Plan Tracker

Area e.g. Education, Corporate	Ref	Recommendation/Improvement	Date Received	Responsible Portfolio Holder	Responsible Officer	CIP / SIP Start Date BRAG Status	Work Undertaken	New capabilities embedded. Evaluation against recommendations completed. Action closed.
Finance	P2 P1	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.	01/08/2015 01/10/2014	Cllr Wynne Jones	Jane Thomas		Developing performance data in conjunction with BI. Currently looking into early development of integrating the data into financial reporting on quarterly basis	
Safeguarding	P3 P1	Ensure appropriate and timely action is taken to manage risks and under performance in relation to safeguarding and ensure elected members are informed of risk management arrangements, and progress in addressing safeguarding risks is included in future scrutiny work.	01/08/2015 01/09/2014	Cllr Graham Brown / Cllr Stephen Hayes	Wyn Richards		Adult and children's scrutiny work groups look at safeguarding as part of their work programme. Members are fully aware of risk with the risk register going before Scrutiny and Cabinet on regular basis	Quarterly updates on children's and adults safeguarding to Cabinet, people scrutiny, risk audit.
Scrutiny	P4 P2	Improve the work of the Council's Scrutiny Committees to ensure it is providing assurance on the effectiveness of the Council's corporate safeguarding arrangements.	01/08/2015 01/09/2014	Cllr Wynne Jones	Wyn Richards			
CSSIW								
Social Care	CSSIW4	Future commissioning and procurement exercises for domiciliary care services should be built on a market development and partnership approach. It must robustly test the tender submissions, the capacity and capability of organisations to manage the transition of services and deliver the service specifications.	01/05/2015	Cllr Stephen Hayes	Lee Anderson		Update – Work is ongoing in partnership with providers via regular Provider Fora continuing to develop market capacity. A draft market Position Statement to further this work has been drafted. This Statement is evidence based, and built on best practice. An options workshop has been undertaken on different future commissioning models, including consideration of a range of market issues including provider consideration, workforce issues, continuity of care, financial sustainability, etc. Further work has also been undertaken to ensure any future commissioning initiative will be safely and carefully managed. Progress has been presented to the Council Scrutiny Committee, and any future commissioning plans will be presented to Cabinet in the future for further consideration.	
Social Care	CSSIW6	The Council needs to strengthen its relationships with and oversight of domiciliary care providers operating in Powys, including setting up regular meetings and clear lines of communication with the commissioning managers to address ongoing concerns and queries.	01/05/2015	Cllr Stephen Hayes	Lee Anderson		The council continues to strengthen its relationship with providers. Regular Provider Forum are held, and providers are encouraged to influence agenda items to ensure that they continue to target current issues that mater to Powys' domiciliary care market. Market development items considered include market capacity, workforce development, geo-graphic zoning, electronic call monitoring, and quality assurance amongst a range of other issues. Regular contract monitoring is embedded and going well. The monitoring programme builds up on market intelligence gained by Council officers and other intelligence gathered and reported by partner stakeholders. In this way, the monitoring programme continues to be tailored to ensure that it remains timely, relevant, and proportionate to both the nature of intelligence gained and the number of hours / residents supported by respective providers.	
Social Care	CSSIW7	The Council needs to consider carrying out a review of the grants and service level arrangements to ensure they align with the Powys One Plan and the Integrated Pathway and provide the best value for money.	01/05/2015	Cllr Stephen Hayes	Lee Anderson		The development of an 'early intervention and prevention' model for adults is underway, once complete all adult social care grants and contracts to voluntary and third sector organisations will be reviewed to ensure their strategic fit with the council's approach to early intervention and prevention. Work has been completed over the summer with third sector partners and the local health board to design the strategic model (the 'continuum of need' and the early intervention and prevention model we will translate this into our joint strategic statement of intent. A wider review of grants is scheduled to be completed this year. Given the scale and number of projects currently being progressed this work is being undertaken by Paul Griffiths Strategic Director of Place in line with the 'stronger communities' programme of work. This review will be much wider than grants relating to Social Care, covering all areas of the Council, and will reflect the development of the three year Medium Term Financial Strategy developed by Cabinet and Management Team.	<ul style="list-style-type: none"> Grants awarded providing value for money and are aligned to the Health and Social Care 'continuum of need' and early intervention and prevention strategy. Powys citizens independence is maximised as people are increasingly supported to access universal and accessible services in their local communities. PCC can 'seed corn' innovative approaches to building community resilience Third sector organisations can build sustainable delivery models
Social Care	CSSIW8	The development of the integrated pathway for older people with Powys Teaching Health Board should be clearly defined and articulated to capture the projected demand and therefore capacity required at each stage, including reablement. The future integrated service model must be supported by clear governance arrangements that include financial commitments and management accountability.	01/05/2015	Cllr Stephen Hayes	Jackie Barnett		The model; 'Adult and Social Care Promotion of Independence Continuum of Need' has been developed to provide an overarching approach within which all services will be delivered to ensure we achieve our vision. This model was developed in partnership with Powys Teaching Health Board, PAVO and stakeholders. The framework will empower people to maintain and improve their own health and wellbeing, and build active and supportive networks among people within communities. It will also enable individuals, families and communities to meet a range of challenges which they may experience in their lives, leaving specialist social care services to concentrate on those with higher level support needs.	<ul style="list-style-type: none"> Success: A 'team around the person' is built which enables services to work together seamlessly at the point they are needed whilst improving the experience for older people. This requires; Services working seamlessly together Person centred approach promoting independence, providing maximum choice and options Integrated systems of care/care pathways designed to meet customer needs and available resources Care co-ordination Tell us once
Social Care	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.	01/05/2015	Cllr Stephen Hayes	Jen Jeffreys		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.	<ul style="list-style-type: none"> Increase in the number of customers whose enquiry/needs are met during their first contact with PPD/ Social Services. Reductions in duty calls received by the operational social work teams, while these teams still provide advice and guidance to PPD workers this is also starting to reduce as the team gain confidence and experience of working in a different way.
Social Care	CSSIW10	The new adult safeguarding management structures and reporting mechanisms must be secured and established as a priority, to ensure that the Designated Lead Managers are supported in their responsibilities and there is consistent reporting, decision making and oversight at an appropriately senior level.	01/05/2015	Cllr Stephen Hayes	Sue Morgan		The People Directorate leadership team recognised in the Autumn 2013 that the safeguarding function of the Council would be better served by the delivery of a Joint Children's and Adults 'through age' service which would ultimately be joined by PTHB's safeguarding service. Discussions are ongoing on the funding arrangements for this model of service delivery. The joint (Childrens and Adults) Senior Manager for Safeguarding commenced working in October 2014 and has introduced a new operational structure. Currently, work is underway to align a team of designated lead managers to a central unit in order to improve consistency and timeliness of decision making. Work is underway with PTHB to move to a second stage of integration where Health Board staff and social care employees form a single team. Recruitment is underway in Powys County Council to recruit permanent Social Work staff to the safeguarding unit.	<ul style="list-style-type: none"> That Powys citizens report greater levels of feeling safe following a safeguarding intervention. Vulnerable individuals are safe from abuse and neglect through multi-agency intervention. There is public confidence in the safeguarding process Partners are fully engaged and safeguarding is recognised as everyone's business. Staff are supported through training and CPD to manage the safeguarding of vulnerable people effectively.

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Social Care	CSSIW11	The low uptake of carer assessments needs to be further investigated to understand the needs of this group of people and how they can be supported in their role.	01/05/2015	Cllr Stephen Hayes	Louise Barry Dylan Owen		Significant improvements have been made on the number of carers assessments offered to people identified as carers. During quarter one 2015/16 93.3% of carers were offered an assessment (exceeding our target of 90%) which was a significant improvement on last year's performance. Actual update of carer's assessments will continue to be monitored. Powys Carers is commissioned to support carers and provides a range of support services which are augmented by information advice and guidance services and respite provision. Further development support is targeted at the Carers partnership in order for the Council and Health Board to more effectively listen to the voice of the carer. We will continue to further investigate why carers offered an assessment do not take up this offer.	
Social Care	CSSIW12	A workforce strategy which supports the establishment of the integrated pathway for older people should be developed across the wider health and social care workforce including domiciliary care. Opportunities to build workforce capacity such as care apprenticeships should be considered, as well as potential barriers such as housing and transport.	01/05/2015	Cllr Stephen Hayes	Amanda Edwards		<ul style="list-style-type: none"> The Organisational Development and Partnership Support Programme are supporting the delivery of this recommendation. PTHB and PCC recognise that our staff are key to transforming how we provide services to the people of Powys. Organisational Development, HR and Workforce are working together across both organisations to support the creation of the teams working in the community. This work has commenced and continues to be a key priority within the integration plan between PTHB and PCC. An adult services specific Workforce action plan is in place, and this will be superseded by the integrated workforce strategy that is being developed as part of the integration agenda between Powys County council and Powys teaching health board.	
Domiciliary Care								
Domiciliary Care Domiciliary Contract Letting to Alpha Care	R2	In order to meet the challenges of transforming its service delivery in the light of reduced financial resources and increasing demand, the Authority has adopted a clearly defined commissioning and procurement strategy. We recommend that the Authority consider whether the issues raised in this report have wider relevance for the successful delivery of its commissioning and procurement strategy, and undertake a review of its processes for developing and letting major contracts. Particular attention should be paid to ensuring that the governance arrangements for developing, scrutinising and approving contracting exercises are appropriate and are working in practice.	01/01/2016	Cllr Stephen Hayes	David Powell		A suite of integrated commissioning strategies have been developed in partnership between PCC and PTHB. The Learning Disabilities, Substance Misuse, and Carers' commissioning Strategies are all agreed, and the Older Peoples, Assistive Technology, and PDSL Strategies are currently being scrutinised by the appropriate governance boards for agreement. The requirement to develop sustained market development to deliver the commissioning intentions within each of these strategies has also led to the establishment of thematic provider / engagement forums. This is already realising benefits of developing greater social capital and partnerships between the Council and partners. Care Forum Wales are an active member of appropriate forums and continue to work closely with the Council to facilitate market development.	<ul style="list-style-type: none"> Resourcing plan in development that will identify resource demands for all change capacity over the next three years. The need for a new commissioning strategy has been identified and resource has been secured to take forward this activity. Role to oversee the co-ordination of commissioning activity is being recruited to and will maintain the resourcing plan and co-ordinate the activities of the programme office. Complementary Gateway processes are in place for the Programme Office for major projects run by the Programme Office and for smaller projects managed by Commercial Services/Service areas that require a procurement process Responsibility for the definition of contracts on a case by case basis established in Contract Procedure Rules. Training programme content in development in readiness for delivery to relevant staff. The programme will also include refresher training on the financial regulations for contracts to ensure consistency of application. Progress of major commissioning and procurement projects now being reported to C&P Board Gateway process introduced with the purpose of ensuring that Professional Services are integral to commissioning and procurement projects. Scrutiny reviews at the commencement of a project i.e. to seek assurance that the purpose and direction of travel are appropriate for the Council, and latterly following the completion of the project as a review. will seek to coordinate work programmes between the C&P Board, the Cabinet and Scrutiny committees, as otherwise scrutiny is unlikely to be aware of procurement activities. Guidance for Officers is being updated to include a section that advised on the approach to be adopted in conducting a lessons learnt review. The draft audit plan will include a review of major contracting and commissioning exercises to ensure lessons are learnt. Built in to MTFS as a permanent change from 17/18. Permanent funding now in place for existing posts that had previously been funded from Management of Change. Business Intelligence activity is now better aligned with the Council's direction of travel. Review commissioned February 2016 and draft report delivered 8th April for comment. Draft Action Plan has been created in order to deliver a changed Finance function. A peer review of Commercial Services has been commissioned from the LGA and will take place in July 2016. This review will assess the capacity of the service to support the transformation agenda. Commercial Services and the People Directorate will work together to plan the development of capacity to support market development.
Domiciliary Care Domiciliary Contract Letting to Alpha Care	R3	Audit work undertaken previously by the Auditor General in 2010 and 2014 on the Authority's whistleblowing policies identified that 'there was often a lack of an audit trail to support key decisions and events. Some key decisions were not documented and there were instances of key documents or supporting information not being found or not existing.' Similar issues are identified in this report. The review recommended above should also consider the extent to which adequate documentation is produced and retained to support key decisions made when developing and letting tenders.	01/01/2016	Cllr Stephen Hayes	David Powell		The WAO report highlighted a series of risks around document management. As a service we are aware of the challenges of maintaining appropriate records and approval of all change initiatives during the ongoing high level of change required across all public services. The service is currently working to identify opportunities to standardise record management processes through greater use of technology and appropriate software packages.	<ul style="list-style-type: none"> Proposals to implement a modern up to date Finance system that integrates to WCCIS are underway. SharePoint Project underway to improve document storage capability. Business case in Governance cycle Mid-April. Looking to tender in May, with aim to award in July/August 2016. Review existing 'unstructured data' held in personal and shared drives for social care. Analysis tools to be procured via Share Point Project. Analysis of data to commence May 2016.
ICT								
ICT	R5	Ensure that there are clear implementation plans for the new all Wales Community Social Services and Health system. This should include: <ul style="list-style-type: none"> identification of overall executive responsibility for leading the project; allocation of sufficient ICT and Service staff resources to the project; clear deliverable milestones and plans to prepare, test, and switchover to the new system; and development of integrated health and social care pathways and processes, which enable the system to support the desired future model of working, rather than the future model of working being dictated/limited by the system. 	01/04/2015	Cllr Tony Thomas	Andrew Durant		Slippage on the WCCIS programme, was due to be live last Monday, are halting the go live. Still awaiting a date for the fix, probably Mid Jan. Anticipating go live end of Feb early March.	
Financial Resilience								
Finance	15	Last year we highlighted that the Council needed to be clear about how it would resource its identified corporate priorities (set out in the Statement of Intent and One Powys Plan). Also that it should be clear how it would ensure its corporate and strategic financial plans were sufficiently aligned. The Council acknowledged that its financial planning should begin earlier and the initial work for the 2015-16 budget began in May 2014. Budget planning followed an approach which aimed to provide greater clarity on the budget process and timing for Members than previously.	01/03/2016	Cllr Wynne Jones	David Powell / Jason Lewis			Monthly budget planning group established
Finance	26	There are, however, capacity issues within the Finance Department. Major restructuring has taken place in the last few years and the Finance Department has seen an approximate 20 per cent reduction in its staff numbers, which has affected the capacity of the team. Some vacancies remain but the Council has experienced difficulties in recruiting to all but the junior accountant positions	01/03/2016	Cllr Wynne Jones	Jane Thomas / Jeremy Patterson		Acting Head of Financial Services arrangement and interim appointment to the Professional Lead for Finance is providing the capacity to drive the transformation. Restructure identifies new roles to build capacity at a more senior level, existing staff undertaking professional training to "grow our own" accountants, newly defined roles and skills development programme will improve financial support for services and the wider Council.	Strategic Overview Board established
Finance	31	Over previous years, the Council has had a variable track record of delivering its overall budget. Its budget was underspent in both 2011-12 and 2012-13. The budget for 2013-14 was overspent by £0.8 million, which the Council met by utilising its reserves.	01/03/2016	Cllr Wynne Jones	Jason Lewis / Jane Thomas		Monthly reporting of Budget position to Budget Managers, Heads of Service, Strategic Directors and Cabinet. Report includes the tracking of all Savings. Opportunities for the improvement in the report format being explored. Scrutiny committees review financial performance and carry out more intensive scrutiny of areas of concern. Joint committee formed from both People and Audit Committee to scrutinise the position on Adult Social Care.	

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Finance	41	The Council has actively sought to increase Member involvement in the budget process. It has run a series of budget seminars with Councillors through the year. The seminars were held to explain the updated FRM to members and present the proposed savings drawn up by each service area. The aim was to inform broad proposals for setting the three-year budget, and to receive guidance from members on policy direction so that proposals could be turned into agreed action plans. In its progress report to Audit Committee in November 2015, the FSP recognised that the budget setting process in Powys is evolving. Whilst welcoming the earlier and more detailed involvement of Members, the FSP expressed some concerns that there were still too many elements of 'salami' slicing rather than transformational change and that some of the savings proposals may not be deliverable.	01/03/2016	Clr Wynne Jones	Jason Lewis/ Jane Thomas / David Powell		Three year budget planning process (MTFS) in place. Further developments and budgeting models being investigated. New approach being adopted for the delivery of savings from 2019/20 onwards.	Monthly savings reporting and efficiency tracking on a monthly basis
Finance	44	In the majority of cases, the Council expects that savings proposals, and their appropriate scrutiny and challenge can be developed internally. However, the Council recognises that in some cases, it will need additional capacity and expertise to help it reduce its operating costs.	01/03/2016	Clr Wynne Jones	Jason Lewis/ Jane Thomas		Resource Plan in pace to understand the requirements of delivering the change programme. External expert support commissioned when appropriate, with skills transfer included as part of that commissioning	
Finance	46	The FSP, at a recent joint meeting with Cabinet (14 December 2015) presented a report with a number of observations and suggestions to further improve the budget setting process for Cabinet to consider. The work undertaken so far, building upon the support from the external specialists, has enabled some positive benefits to be derived although some arrangements are clearly developing and have yet to be fully embedded.	01/03/2016	Clr Wynne Jones	Jane Thomas		Budget setting report has been presented to Cabinet and this is helping to shape Cabinet proposals. This contributes to the FSP work programme in addition to the MTFS and other factors underpinning this.	Improved budget setting process and a strengthened approach to financial scrutiny
Finance	47	In circumstances where timescales are compressed, it is particularly important to ensure that risk is effectively managed and proper accountability arrangements are in place. We recently published a report of our Review of the Letting of a Domiciliary Care Contract to Alpha Care Limited. It expresses our view that in its haste to introduce the new domiciliary care service as quickly as possible, the Council compromised the integrity of its established governance arrangements. In consequence, the Council and users of the domiciliary care service were exposed to unnecessary risk.	01/03/2016	Clr Wynne Jones	David Powell			Action Plan created in response to WAO review of Dom Care - Action plan reported to Audit Committee
Finance	48	To meet the challenge of transforming service delivery with reduced financial resources and increasing demand, the Council has adopted a clearly defined commissioning and procurement strategy. Our report on the letting of the domiciliary care contract recommended that the Council consider whether the issues we have identified have wider relevance for the successful delivery of its commissioning and procurement strategy. It also recommends that the Council undertake a review of its processes for developing and letting major contracts. We emphasise the need to ensure that the governance arrangements for developing, scrutinising and approving contracting exercises are appropriate and are working.	01/03/2016	Clr Wynne Jones	David Powell			Action Plan created in response to WAO review of Dom Care - Action plan reported to Audit Committee