

**CYNGOR SIR POWYS COUNTY COUNCIL.**

**Audit Committee  
Thursday 6<sup>th</sup> July 2017**

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

**SUBJECT: Regulatory Tracker Update QTR4 16/17**

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**REPORT FOR: Information & Decision**

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**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 Qtr4 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.	<b>84</b>	45	53%	40	47%	<b>100%</b>
2	Recommendations were planned, action is complete and ready for sign off by Audit Committee	<b>4</b>	1	25%	3	75%	<b>100%</b>
3	Actions on track	<b>59</b>	34	58%	25	42%	<b>100%</b>
4	Actions mainly on track – some minor issues	<b>21</b>	9	43%	12	57%	<b>100%</b>
5	Actions not on track – with major issues or no planned action undertaken to date.	<b>1</b>	1	100%	0	0%	<b>100%</b>

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

Of the **84** recommendations made in Local and National studies the Council have currently implemented **4** (1 National and 3 Local) with a subsequent **59** (34 National

and 25 Local) recommendations on track to implementation this equates to **75%** of the total recommendations.

Of the **84** recommendations **1** (1 National and 0 Local) are not on track or have major issues or no planned action undertaken to date this equates to **1.1%** of the total recommendations.

The Council received 1 report from WAO in QTR4; “**Good Governance when Determining Significant Service Changes - Powys County Council**” This report will follow the agreed tracker process, the recommendations can be found on the tracker under local recommendations.

The **11** Recommendations RAG'd Blue at the end of QTR3 have been archived in accordance with the tracker process having approval from Audit Committee **5th April 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
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

#### 4. Blue Recommendations proposed to be archived

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
<b>P3,P1</b>	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.	Local Study	01/08/2015 01/09/2014	<b>Scrutiny</b>	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.	<b>Wyn Richards</b>
<b>P4,P2</b>	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.	Local Study	01/08/2015 01/09/2014	<b>Scrutiny</b>	Risk register is now an automatic agenda item on Audit committee on a quarterly basis	<b>Wyn Richards</b>
<b>P1</b>	Reviewing the current remit and role of the Cabinet to enable it to focus on the Councils key priorities and significant service changes	Local Study	01/03/2017	<b>Legal</b>	The Constitution was changed on 7th March 2017 to remove the right of group leaders and scrutiny chairs to speak on all matters on a Cabinet Agenda. In future group leaders have no right to speak, and scrutiny chairs can only speak if their scrutiny committee has actually scrutinised the matter	<b>Clive Pinney</b>
<b>R5</b>	Ensure that external review bodies take account of scrutiny work programmes and the outputs of scrutiny activity, where appropriate, in planning and delivering their work.	National Study	29/05/2014	<b>Scrutiny</b>	The Council approached WAO, CSSIW, Estyn etc. to meet regularly to ensure external review bodies take account of scrutiny work programmes and the outputs of scrutiny activity, where appropriate, in planning and delivering their work. There was little appetite to this request.  The Council have undertaken a lot of work to tie in regular risk and CIP vision and elements into the Scrutiny process.  PCC provide reports and updates to auditors along with minutes of meetings when requested to aid inspection when appropriate.	<b>Wyn Richards</b>

## 5. Statutory Officers

The Solicitor to the Council (Monitoring Officer) has commented as follows: “The recommendations can be supported and I have nothing to add to the report”.

The view of the Strategic Director of Resources is that: The report provides key information to Committee about our response to regulators and it supports the overall management of the council’s finances.

<b>Recommendation:</b>	<b>Reason for Recommendation:</b>
<b>Recommendation 1:</b> That 4 recommendations ( <b>status blue</b> ) are approved to be archived by decision of the Audit Committee.	Recommendations were planned action is complete and desired outcomes have been achieved / embedded as required.
<b>Recommendation 2:</b> 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.

<b>Relevant Policy (ies):</b>			
<b>Within Policy:</b>	<b>Y</b>	<b>Within Budget:</b>	<b>Y</b>
<b>Relevant Local Member(s):</b>			
<b>Person(s) To Implement Decision:</b>		<b>Thomas Yeo</b>	
<b>Date By When Decision To Be Implemented:</b>		<b>Immediately</b>	

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