

**CYNGOR SIR POWYS COUNTY COUNCIL.**

**Audit Committee  
22<sup>st</sup> September 2017**

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

**SUBJECT: Regulatory Tracker Update QTR1 17/18**

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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 Qtr1 2017/18, 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>70</b>	44	63%	26	37%	<b>100%</b>
2	Recommendations were planned, action is complete and ready for sign off by Audit Committee	<b>3</b>	3	100%	0	0%	<b>100%</b>
3	Actions on track	<b>54</b>	32	59%	22	41%	<b>100%</b>
4	Actions mainly on track – some minor issues	<b>12</b>	8	67%	4	33%	<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 **70** recommendations made in Local and National studies the Council have currently implemented **3** (3 National and 0 Local) with a subsequent **54** (32 National

and 22 Local) recommendations on track to implementation this equates to **81.4%** of the total recommendations.

Of the **70** 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 **1.4%** of the total recommendations.

The Council didn't receive any new reports locally and no national reports have been published since the last quarter.

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 **6th July 2017**. These recommendations can be found on the blue tabs within the tracker spreadsheet.

There have been a number of changes to the Regulatory tracker in the past quarter to improve the accuracy and quality of the updates provided by officers. This work will continue moving forward.

The finance elements have been consolidated after meeting with the head of Finance. I had noticed and highlighted in QTR4 16/17 that there were a number of overlaps and duplication which could be eradicated by providing one progress update against a number of replicated recommendations this should improve the accuracy of reporting.

There has also been a move to merge the BRAG status for the Good Governance when Determining Significant Service Changes local report. There are a number of actions against single recommendations and I felt one overall BRAG status for the delivery of that recommendation would be prudent.

### 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.  This would be introduced for the next financial year.	Jane Thomas

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

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
<b>R3R1</b>	Revise the best practice standards to: <ul style="list-style-type: none"> <li>• align the work of environmental health with national strategic priorities;</li> <li>• identify the wider contribution of environmental health in delivering strategic priorities of the Welsh Government; and</li> <li>• identify the benefit and impact of environmental health services on protecting citizens.</li> </ul>	National Study	01/10/2014	<b>Environment Health</b>	Welsh Heads of Environmental Health Best practice standards have been revised and circulated. In addition, a set of `infograms` have been developed by EH services that are designed to meet this measure - <a href="http://www.cieh-cymruwales.org/infographics.html">http://www.cieh-cymruwales.org/infographics.html</a> - in that they demonstrate the wider contribution of EH and the benefits and impact of EH services in protecting consumers.	<b>Ken Yorston</b>
<b>R5R1</b>	Public bodies should use business cases to support all individual early departures. Business cases should identify the cost and service delivery implications of the individual leaving and take account of relevant wider workforce planning.	National Study	01/02/2015	<b>HR –Early Departures</b>	<p>Powys County Council HR operates a business case authorisation process as recommended. The revised Management of Change and Redundancy policy specifically requires that for all redundancies (both voluntary and compulsory) a proper business case outlining the cost/benefit to the Council must be retained and held centrally.</p> <p>Although we currently make use of business cases to allow early release, we have ensured that these business cases identify the cost and service delivery implications of the individual leaving and take account of relevant wider workforce planning. The business case should note any strain on the pension fund, the costs of any replacement staff to backfill work, a calculation of payback periods and the impact of the loss of skills and experience.</p>	<b>Julie Rowles/ John Bevan</b>
<b>R5R4</b>	Public bodies should ensure where settlement agreements are used, their records clearly identify whether a package includes an enhancement payment and if so, its value and the reason for the enhancement payment.	National Study	01/02/2015	<b>HR –Early Departures</b>	The Council does not, as a matter of course, provide enhanced payments in settlement agreements and only occasionally makes use of settlement agreements. A centrally-held schedule is held by Legal Services.	<b>Julie Rowles/ John Bevan</b>

## 5. Officer's Quarter 1 2017/18 observations

1. The outcome of the WG lead review into Community Safety is proposed to be delivered in Autumn and will shape Community safety work moving forward. It is the officer's opinion that once this review has been distributed that the Council clarifies its position and approach to delivering community safety with our external partners.
2. The Good Governance when Determining Significant Service Changes local report updates need to be developed. It is the officer's opinion that the updates provided for the tracker are lacking in clarity and substance regarding progress and currently state actions or work to be undertaken.

## 6. Statutory Officers

The Solicitor to the Council (Monitoring Officer) has commented as follows:

The view of the Strategic Director Resources (S151 Officer) is that the contents form a key part of ensuring regulators' recommendations are delivered.

Recommendation:	Reason for Recommendation:
<b>Recommendation 1:</b> The tracker is received as a correct indication of the Council's response to regulatory recommendations.	To ensure that agreed actions to address regulatory recommendations received by the Council are monitored appropriately.
<b>Recommendation 2:</b> That 3 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>Relevant Policy (ies):</b>			
<b>Within Policy:</b>	Y	<b>Within Budget:</b>	Y
<b>Relevant Local Member(s):</b>			
<b>Person(s) To Implement Decision:</b>			
<b>Date By When Decision To Be Implemented:</b>			

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