

**CYNGOR SIR POWYS COUNTY COUNCIL.**

**Management Team and Portfolio Holders  
4<sup>th</sup> July 2014**

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**SUBJECT: Regulatory Tracker - Overview**

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**REPORT FOR: Information / Decision**

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**1. Purpose of the Tracker and Overview Report**

1.1 This overview report summarises progress on responding to recommendations received from the council's regulators, predominantly Wales Audit Office (WAO), Estyn and Care & Social Services Inspectorate Wales (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 removed from the tracker.
- New recommendations are appropriate for inclusion in the tracker.

1.2 The tracker (Appendix 1) will be presented quarterly to Management Team and Portfolio Holders, and will also be taken to audit committee for regular updates. The tracker will be referred to Joint Chairs and Vice Chairs Steering Group only when there is a need to add / remove recommendations.

1.3 The tracker is co-ordinated by the Strategic Planning and Performance unit and is generally based on monitoring performance of the council's change programmes and service improvement plans so that duplication of effort is minimised as far as possible.

**2. Overview of Regulatory Tracker**

2.1 At 31<sup>st</sup> March 2014, the overview of the tracker provides the following view of progress against recommendations received.

| Status | Description | Number | % |
|--------|-------------|--------|---|
|--------|-------------|--------|---|

|   |   |    |      |
|---|---|----|------|
| 1 | Total number of recommendations   | 43 | 100% |
| 2 | Recommendations where planned action is complete and desired outcomes achieved / embedded as required | 32 | 74%  |
| 3 | Actions complete and evaluation of impact due before removal from tracker                             | 6  | 14%  |
| 4 | Work in progress  | 5  | 12%  |
| 5 | No planned action undertaken to date  | 0  | 0%   |

2.2 No additional recommendations have been received.

### **3. Removing / Adding Recommendations**

- 3.1 The process for considering regulatory recommendations is provided in Appendix 2
- 3.2 It is important that regulatory reports, together with recommendations are considered by Management Team, Cabinet and Joint Chairs and Vice Chairs Steering Group to confirm lead officers and portfolio holders and agree which recommendations are sufficiently significant for inclusion on the corporate tracker.
- 3.3 Where appropriate, actions must be embedded in either the council's change programme or relevant service improvement plan. This ensure that the work is agreed and embedded and that effective monitoring arrangements are in place.
- 3.4 When removing a recommendation, the council must itself be satisfied that sufficient / appropriate action has been taken and that issues raised in recommendations have been addressed.
- 3.5 It is highly unlikely that regulators will provide direct assurance that a recommendation can be removed from the tracker. They may give an indication on progress within the context of their reports. An example of this is the letter from Estyn following the latest monitoring visit which states 'the local authority is no longer in need of significant improvement and is removing it from further follow-up activity'.

### **4. Powys Change Plan**

- 4.1 The One Powys Plan 2014-17 has successfully integrated the council's change plan into a single, coherent plan involving key strategic partners. A new programme of work is currently being worked up to successfully deliver the commitments made in that plan.
- 4.2 Where appropriate, actions in response to recommendations received from regulators will be incorporated within agreed transformation programmes.

**5. Sustainability and Environmental Issues/Equalities/Crime and Disorder/Welsh Language/Other Policies etc**

5.1 Consideration of the above is taken into account when agreeing an appropriate response to regulatory recommendations.

**6. Children and Young People's Impact Statement - Safeguarding and Wellbeing**

6.1 Safeguarding and well-being issues are key considerations for the council. Failure to respond to regulatory recommendations may potentially have a detrimental impact on the above.

**7. Local Member(s)**

7.1 The regulatory tracker is of equal significance to all members.

**8. Other Front Line Services**

8.1 The PCP impacts with equal force across all council services.

**9. Support Services (Legal, Finance, HR, ICT, BPU)**

9.1 Support Services should be aware of the council's response to recommendations and provide appropriate support where required.

**10. Local Service Board/Partnerships/Stakeholders etc**

10.1 The necessary response to recommendations will include collaborative action where appropriate.

| <b>Recommendation:</b>  | <b>Reason for Recommendation:</b>   |
|---|---|
| <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 32 recommendations (status blue) are approved for removal from the tracker by Joint Chairs and Vice Chairs Steering Group | Recommendations were planned action is complete and desired outcomes have been achieved / embedded as required.                                 |
| <b>Recommendation 3:</b> The outline process for receiving, monitoring and removing recommendations from the council's regulatory tracker is adopted.   | To ensure that recommendations received from the council's regulators are addressed appropriately as opportunities for performance improvement. |

|                               |              |                       |              |
|-------------------------------|--------------|-----------------------|--------------|
| <b>Relevant Policy (ies):</b> |              |                       |              |
| <b>Within Policy:</b>         | <b>Y / N</b> | <b>Within Budget:</b> | <b>Y / N</b> |

|   |              |             |                            |
|---|--------------|-------------|----------------------------|
| <b>Relevant Local Member(s):</b>                |              |             |                            |
| <b>Person(s) To Implement Decision:</b>         |              |             |                            |
| <b>Date By When Decision To Be Implemented:</b> |              |             |                            |
| <b>Contact Officer Name:</b>                    | <b>Tel:</b>  | <b>Fax:</b> | <b>Email:</b>              |
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