

CYNGOR SIR POWYS COUNTY COUNCIL.

**Audit Committee
2016**

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

SUBJECT: Regulatory Tracker – Summary Report

REPORT FOR: Information & Decision

Summary

1. Corporate Improvement Plan 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 and Joint Chairs.
- New recommendations are appropriate for inclusion in the tracker.

1.2 The Tracker (**Appendix 1**) went before Management Team on **30th November 2016** and Strategic Overview board on **13th December 2016**. (Item 3) shows the extract minutes from the Strategic Overview Board within are the revisions proposed to the status of recommendations recorded in the tracker. Audit Committee are welcomed to review and assess the corporate arrangements and implementation of regulator recommendations by the Council within the tracker.

2. Overview of Regulatory Tracker

At end of Qtr2 2016, 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.	104	69	66.3%	35	33.7%	100%
2	Recommendations where planned, action is implemented and ready for sign off by Audit Committee	39	27	69.2%	12	30.8%	37.5%
3	Actions on track	52	31	59.6%	21	41.2%	50%
4	Actions mainly on track – some minor issues	7	7	100%	0	0%	6.7%
5	Actions not on track – with major issues or no planned action undertaken to date.	6	4	66.6%	2	33.3%	5.8%

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

Of the **104** recommendations made in Local and National studies the Council have currently implemented **39** (27 National and 12 Local) into business as usual with a subsequent **52** (31 National and 21 Local) recommendations on track to implementation this equates to **87.5%** of the total recommendations.

Of the **104** recommendation **6** (4 National and 2 Local) are not on track or have major issues or no planned action undertaken to date this equates to **5.8%** of the total recommendations.

3. Extract minutes from Strategic Overview Board

REGULATORY RECOMMENDATION TRACKER

The Board considered a tracker of recommendations made by regulators. Of 104 recommendations, 39 actions were complete and ready for sign off by the Audit Committee, 51 were on track, 6 were mainly on track with some minor issues and 8 were not on track and the report set out the position for each of these.

With respect to R5R5, public bodies should give due consideration to the equality impact of all early departure arrangements, SOB was advised that this had been actioned so this would be green for the next report.

With respect to R5, monitor efficiency savings and demonstrate that services provide value for money, the Strategic Director Resources would be meeting WAO to discuss what measures they wanted to put into place.

With respect to R4, develop Key Performance Indicators to monitor the MTFP, this would be introduced for the next financial year.

With respect to R7, Strengthen budget setting and monitoring arrangements to ensure financial resilience, resilience had been built in so SOB agreed that this should be amber rather than red.

For future reports SOB asked for details of when reports were due. Members are invited to consider the future status of this report and whether it can be made available to the press and public either immediately following the meeting or at some specified point in the future.

The view of the Strategic Director, Law & Governance is that:

Recommendation:	Reason for Recommendation:
Audit Committee are happy with the governance and process in place regarding the Council’s Regulatory tracker.	Assure that the Council is actively implementing regulator recommendations into business as usual. Ensure there is robust processes and governance in place to review and challenge services implementation of recommendations.
That Audit Committee review and challenge Strategic Overview Board and provide comment where	Ensure there is sufficient scrutiny and challenge with regards to the Council’s response to regulator

necessary.	recommendations.
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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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