

**CYNGOR SIR POWYS COUNTY COUNCIL.**

**Audit Committee  
2nd February 2018**

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

**SUBJECT: Regulatory Tracker Update QTR2 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 QTR2 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>66</b>	41	62%	25	38%	<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>50</b>	28	56%	22	44%	<b>100%</b>
4	Actions mainly on track – some minor issues	<b>12</b>	10	83%	2	17%	<b>100%</b>
5	Actions not on track – with major issues or no planned action undertaken to date.	<b>1</b>	0	0%	1	100%	<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 **66** recommendations made in Local and National studies the Council have currently implemented **3** (3 National and 0 Local) with a subsequent **62** (38 National

and 24 Local) recommendations on track to implementation this equates to **94%** of the total recommendations.

Of the **64** recommendations **1** (0 National and 1 Local) are not on track or have major issues or no planned action undertaken to date this equates to **1.5%** 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 **3** Recommendations RAG'd Blue at the end of QTR1 have been archived in accordance with the tracker process having approval from Audit Committee **22nd September 2017**. These recommendations can be found on the blue tabs within the tracker spreadsheet.

### **3. Last Quarter Audit Decisions**

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.

At Audit committee on 22<sup>nd</sup> September it was agreed that officers would provide an estimated date at which the recommendation would be delivered. You will see in the tracker spreadsheet that this has been provided by most but there is still some outstanding which will be provided at QTR3 reporting,

Audit also agreed that from this point forward any recommendations marked as blue would need HoS approval before they could be achieved this should provide more assurance for Audit and accountability at senior service level into the process.

Management team discussed the tracker on Monday 27<sup>th</sup> November and suggested a review and cleanse of recommendations at senior service management teams. It was felt this was a timely juncture to undertake such an activity given plans such as the Childrens improvement plan and Adults improvement plan could potentially supersede old recommendations. It was felt services can identify where recommendations are no longer viable and this duplicated level of reporting could be removed.

#### 4. Red Recommendations Requiring action

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
P6	Strengthening arrangements for monitoring the impact of service changes including explicitly setting out at the point of decision what will be monitored, where this will be monitored and who will be responsible for doing so	Local Review	01/03/2017	Council wide	Cabinet report template reviewed and updated. Need to update template again to include review date. Review date tracker to be created.	All HoS

5. Blue Recommendations proposed to be archived

Ref	Recommendation	Review Type	Date Received	Service	Position Statement	Responsible Officer
R2	<p>Improve strategic planning and better coordinate activity for services to older people by:</p> <ul style="list-style-type: none"> <li>• ensuring comprehensive action plans are in place that cover the work of all relevant council departments and the work of external stakeholders outside of health and social care; and</li> <li>• engaging with residents and partners in the development of plans, and in developing and agreeing priorities</li> </ul>	National Review	15/10/2015	Older People	<p>The Older Persons joint commissioning strategy action plan has been reviewed and updated. There has been engagement with the older persons forum in relation to day time activities and accommodation projects. This has been received well by those who participated. Separately there has been extensive engagement throughout the county in respect of gaining views in relation to day time activities. This process has assist in informing the plans going forward. Individual feedback and engagement is undertaken through the updated integrated assessment tool and reviews of older people.</p> <p>Integration of older peoples service with Powys Teaching Health Board continues and evaluation and feedback is being developed as the trial sites progress. Early indicators are that older people are fully involved in the what matters conversation and planning in relation to their future needs.</p> <p>Work continues to develop the thematic board which enables older people to participate in consultations which they have done in relation to day time activates and older people's accommodation options. Further development will be in line with the Regional Partnership Board's governance.</p> <p>This item is an ongoing piece of work, but does not require further reporting within this tracker as the main work has been completed.</p>	Jen Jeffreys
R3	<p>Improve engagement with, and dissemination of, information to older people by ensuring advice and information services are appropriately</p>	National Review	15/10/2015	Older People	<p>The introduction of Powys People Direct and a single number approach has assisted in the collation of information and provision of information and advice to individuals, their families and</p>	Jen Jeffreys

	<p>configured and meet the needs of the recipients.</p>				<p>agencies who make enquiries. The third sector have been crucial to this development and the introduction of community connectors have assisted both within Powys People direct and within the localities where they are based. By engaging directly with individuals within their communities and the development of contingency plans will ensure that appropriate support is given in a timely manner.</p> <p>Work continues to develop and improve the services engagement through improvement via PPD and ensuring what matters conversations links with primary care and leisure. Employment of community connectors continues to improve engagement and dissemination of information whilst also building strong relationships with the third sector.</p> <p>This regulation has been superseded by the Social Services and Wellbeing Act's requirements which involve Information, Advice and Assistance as set out in CSSIW9, and as such this item should be closed.</p>	
<p><b>R4</b></p>	<p>Ensure effective management of performance for the range of services that support older people to live independently by:</p> <ul style="list-style-type: none"> <li>• setting appropriate measures to enable members, officers and the public to judge progress in delivering actions for all council services;</li> <li>• ensuring performance information covers the work of all relevant agencies and especially those outside of health and social services;</li> </ul> <p>and</p> <ul style="list-style-type: none"> <li>• establishing measures to judge inputs, outputs and impact to be able to</li> </ul>	<p><b>National Review</b></p>	<p><b>15/10/2015</b></p>	<p><b>Older People</b></p>	<p>The implementation of the Social Services and Wellbeing (Wales) Act has seen a shift in the requirements to report to Welsh Government. The reports are being refined and will ensure that information is captured at a service, team and individual level. The introduction of "sprint" enabled managers to access information which was live thus informing the performance of the service area. This is now being rebuild as a result of the move to WCCIS. Measures are in place in relation to the integrated teams and evaluations underway. Team plans are in place and link directly to the directorate plan which reports to DMT and ultimately to execs and members. As we move forward with continuous improvement trends and commitments</p>	<p><b>Jen Jeffreys</b></p>

	<p>understand the effect of budget cuts and support oversight and scrutiny.</p>				<p>will be available to team managers on a monthly basis as a measurement going forward which will assist with planning.</p> <p>Both qualitative and quantitative performance measures are in place. WCCIS being formatted in line with reporting requirements. Quality Assurance mechanism in place and being further developed. Monitoring of external providers in place in clouding a mechanism for monitoring and responding to concerns. Trends and comparisons being developed.</p> <p>This regulation has been superseded by the requirements of the Social Services and Wellbeing Act's performance measurements and, as such this item (R4) should be closed.</p>	
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## 6. Statutory Officers

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

The view of the Strategic Director Resources (S151 Officer) has commented as follows:

<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 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>	<b>Y</b>	<b>Within Budget:</b>	<b>Y</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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