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Am unrhyw ymholiad yn ymwneud â'r agenda hwn cysylltwch â Rebecca Barrett  
(Rhif Ffôn: 01443 864245 Ebst: barrerm@caerphilly.gov.uk)

**Dyddiad: 21 Mai 2019**

Annwyl Syr/Fadam,

Bydd cyfarfod **Pwyllgor Craffu Polisi ac Adnoddau** yn cael ei gynnal yn **Ystafell Sirhywi - Tŷ Penallta, Tredomen, Ystrad Mynach** ar **Dydd Mawrth, 28ain Mai, 2019** am **5.30 pm** i ystyried materion a gynhwysir yn yr agenda canlynol. Gall cynghorwyr a'r cyhoedd sy'n dymuno siarad am unrhyw eitem wneud hynny drwy wneud cais i'r Cadeirydd. Mae croeso i chi hefyd ddefnyddio'r Gymraeg yn y cyfarfod. Mae'r ddau gais hyn yn gofyn am gyfnod rhybudd o 3 diwrnod gwaith, a bydd cyfieithu ar y pryd yn cael ei ddarparu os gofynnir amdano.

Mae pob cyfarfod Pwyllgor yn agored i'r Wasg a'r Cyhoedd. Gofynnir i arsylwyr a chyfranogwyr ymddwyn gyda pharch ac ystyriaeth at eraill. Sylwer y bydd methu â gwneud hynny yn golygu y gofynnir i chi adael y cyfarfodydd ac efallai y cewch eich hebrwng o'r safle.

Yr eiddoch yn gywir,

A handwritten signature in black ink, appearing to read 'Christina Harrhy'.

**Christina Harrhy**  
PRIF WEITHREDWR DROS DRO

## AGENDA

Tudalennau

1 I dderbyn ymddiheuriadau am absenoldeb

2 Datganiadau o Ddiddordeb.

Atgoffi'r Cynghorwyr a Swyddogion o'u cyfrifoldeb personol i ddatgan unrhyw fuddiannau personol a/neu niweidiol mewn perthynas ag unrhyw eitem o fusnes ar yr agenda hwn yn unol â Deddf Llywodraeth Leol 2000, Cyfansoddiad y Cyngor a'r Cod Ymddygiad ar gyfer Cynghorwyr a Swyddogion.

A greener place Man gwyrddach

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I gymeradwyo a llofnodi'r cofnodion canlynol:-

- |    |   |         |
|----|---|---------|
| 3  | Pwyllgor Craffu Polisi ac Adnoddau a gynhaliwyd ar 12fed Mawrth 2019.   | 1 - 8   |
| 4  | Ystyried unrhyw fater a gyfeiriwyd at y Pwyllgor hwn yn unol â'r drefn galw i mewn.   |         |
| 1. | Ystyried Cais Galw i Mewn - Newidiadau arfaethedig mewn ffioedd a thaliadau – Cabinet 27ain Mawrth 2019.  | 9 - 18  |
| 5  | Rhaglen Waith y Dyfodol Pwyllgor Craffu Polisi ac Adnoddau.   | 19 - 44 |
| 6  | I dderbyn ac ystyried yr adroddiadau* Cabinet canlynol:-  |         |
| 1. | Ailbroffilio Rhaglen SATC a Rhaglen Gyfalaf Cyfrif Refeniw Tai 2019/20 - 13eg Mawrth 2019;  |         |
| 2. | Cynllun Ymddeol Hyblyg - 13eg Mawrth 2019;  |         |
| 3. | Blaenraglen Waith y Cabinet -13eg Mawrth 2019;  |         |
| 4. | Cronfa'r Degwm - 27ain Mawrth 2019;   |         |
| 5. | Cyhoeddi Data am y Bwlch Cyflog Rhwng y Rhywiau - Rheoliadau Deddf Cydraddoldeb 2010 (Dyletswyddau Penodol Ac Awdurdodau Cyhoeddus) 2017 - 27ain Mawrth 2019; |         |
| 6. | Newidiadau arfaethedig mewn ffioedd a thaliadau - 27ain Mawrth 2019;  |         |
| 7. | Mabwysiadu Cynllun Llywodraeth Cymru (Rhyddhad Ardrethi'r Stryd Fawr a Manwerthu) 2019/20 - Cyllid Grant - 24ain Ebrill 2019.                                 |         |

*\*Os oes aelod o'r Pwyllgor Craffu yn dymuno i unrhyw un o'r adroddiadau Cabinet uchod i gael eu dwyn ymlaen ar gyfer adolygiad yn y cyfarfod, cysylltwch â Rebecca Barrett, 01443 864245, erbyn 10.00 a.m. ar ddydd Gwener, 24ain Mai 2019.*

I dderbyn ac ystyried yr adroddiadau Craffu canlynol:-

- |    |  |           |
|----|--|-----------|
| 7  | Ymarfer Cynllunio'r Gweithlu.  | 45 - 50   |
| 8  | Strategaeth Trawsffurfio Caerffili'r Dyfodol - <b>#TîmCaerffili - Yn Well Gyda'n Gilydd.</b> | 51 - 90   |
| 9  | Strategaeth Cwsmeriaid a Digidol a Chynllun Gweithredu Strategol                             | 91 - 138  |
| 10 | Egwyddorion ar Weithredu "Office 365".   | 139 - 154 |

#### **Cylchrediad:**

Cynghorwyr M.A. Adams, Mrs E.M. Aldworth, K. Etheridge, Mrs C. Forehead, Miss E. Forehead, L. Harding, G. Johnston, G. Kirby (Is Gadeirydd), C.P. Mann, B. Miles, J. Pritchard (Cadeirydd), J. Ridgewell, R. Saralis, Mrs M.E. Sargent, J. Taylor a L.G. Whittle

A Swyddogion Priodol

## **SUT FYDDWN YN DEFNYDDIO EICH GWYBODAETH**

Bydd yr unigolion hynny sy'n mynychu cyfarfodydd pwyllgor i siarad/roi tystiolaeth yn cael eu henwi yng nghofnodion y cyfarfod hynny, weithiau bydd hyn yn cynnwys eu man gweithio neu fusnes a'r barnau a fynegir. Bydd cofnodion o'r cyfarfod gan gynnwys manylion y siaradwyr ar gael i'r cyhoedd ar wefan y Cyngor ar [www.caerffili.gov.uk](http://www.caerffili.gov.uk). ac eithrio am drafodaethau sy'n ymwneud ag eitemau cyfrinachol neu eithriedig.

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## **POLICY AND RESOURCES SCRUTINY COMMITTEE**

**MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, YSTRAD MYNACH ON  
TUESDAY, 12TH MARCH 2019 AT 5.30 P.M.**

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PRESENT:

Councillor J. Pritchard - Chair  
Councillor G. Kirby - Vice-Chair

Councillors:

M. Adams, K. Etheridge, L. Harding, G. Johnston, C.P. Mann, J. Ridgewell, R. Saralis,  
Mrs M.E. Sargent

Cabinet Members:

C. Gordon (Corporate Services), Mrs B. Jones (Finance, Performance and Governance),

Together with:

R. Edmunds (Corporate Director for Education and Corporate Services), S. Couzens (Chief Housing Officer), S. Cousins (Housing Solutions Manager), P. Smythe (Housing Technical Manager), F. Wilkins (Housing Services Manager), M. Williams (Interim Head of Property Services), C. Forbes-Thompson (Interim Head of Democratic Services), M. Jacques (Scrutiny Officer), R. Barrett (Committee Services Officer)

Also present:

N. Jenkins (Wales Audit Office)

### **1. WELCOME**

The Chair welcomed Mark Jacques (Scrutiny Officer) to his first meeting of the Policy and Resources Scrutiny Committee.

### **2. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Mrs E.M. Aldworth, Mrs C. Forehead, Miss E. Forehead, Mrs D. Price, J. Taylor, L.G. Whittle and Cabinet Member Mrs L. Phipps (Homes and Places).

### **3. DECLARATIONS OF INTEREST**

There were no declarations of interest received at the commencement or during the course of the meeting.

**4. MINUTES – 3RD DECEMBER 2018**

RESOLVED that the minutes of the Special Policy and Resources Scrutiny Committee held on 3rd December 2018 (minute nos. 1 - 4) be approved as a correct record and signed by the Chair.

**5. MINUTES – 15TH JANUARY 2019**

RESOLVED that the minutes of the Policy and Resources Scrutiny Committee held on 15th January 2019 (minute nos. 1 - 11) be approved as a correct record and signed by the Chair.

**6. CALL-IN PROCEDURE**

There had been no matters referred to the Scrutiny Committee in accordance with the call-in procedure.

**7. REPORT OF THE CABINET MEMBERS**

The Scrutiny Committee noted the contents of the reports from Councillors C. Gordon, Mrs B. Jones and Mrs L. Phipps and, which provided an update on their respective portfolios, and had been circulated to Members in advance of the meeting.

In respect of the update from Councillor C. Gordon (Cabinet Member for Corporate Services), Members discussed the Plastic Challenge initiative and ways in which this can be maximised. The Scrutiny Committee were please to note the update in respect of the Apprenticeship scheme and placed on record their thanks for the allocation to Customer Services. It was noted that the scheme may have potential to link in with the proposed Caerphilly 2022 operating model, which will place an emphasis on training and development in order to upskill and fulfil roles in the future.

Arising from the update from Councillor Mrs B. Jones (Cabinet Member for Finance, Performance and Governance), discussion took place regarding the new performance dashboards being drafted for each Directorate and how these will drive improvement forward.

As Councillor Mrs L. Phipps (Cabinet Member for Homes and Places) had given apologies for the meeting, the Scrutiny Committee noted the contents of her report without discussion.

The Cabinet Members were thanked for their reports.

**8. POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME**

Cath Forbes-Thompson (Interim Head of Democratic Services) presented the report, which outlined details of the Policy and Resources Scrutiny Committee Forward Work Programme (FWP) for the period March 2019, and included all reports that were identified at the Scrutiny Committee meeting on 15th January 2019. It was noted that a workshop to consider and agree the Committee's forward work programme for the year ahead had taken place immediately prior to the main meeting, and that Members had provisionally agreed items for inclusion.

It was unanimously agreed that the draft version of the Forward Work Programme for the coming year be circulated to the Scrutiny Committee for comment, with an updated version being brought to the next meeting for approval prior to publication on the Council's website.

## **9. CABINET REPORTS**

None of the Cabinet reports listed on the agenda had been called forward for discussion at the meeting.

## **REPORTS OF OFFICERS**

Consideration was given to the following reports.

## **10. PROGRESS REPORT – RESIDENTIAL REDEVELOPMENT OF THE SITE OF THE FORMER CIVIC CENTRE, PONTLLANFRAITH**

Mark Williams (Interim Head of Property Services) and Shaun Couzens (Chief Housing Officer) presented the report, which provided a progress update on the proposed residential redevelopment of the site of the former Civic Centre in Pontllanfraith. The report sought Member's views on the involvement of Caerphilly Homes in the Social Housing element, prior to its consideration by Cabinet.

Members were advised that following the decision taken by Cabinet on 3rd October 2018, master planning for a residential development on the site of the former Civic Centre in Pontllanfraith has been progressed in conjunction with Registered Social Landlord Pobl. The outline proposals adheres to the Cabinet decision insofar as they are based on the Garden Village model and comprise broadly equal proportions of social rented, affordable housing and market sale, and approximately two thirds of the development will be classed as 'affordable'. Whilst the master planning to date is work in progress it gives assurance that the project is being developed in accordance with the direction given by Cabinet.

Members noted the details of the masterplan presentation appended to the report, which outlined details of the collaboration between the Council and Pobl, the vision for this development (Chartist Gardens), examples of similar schemes elsewhere, and target programme milestones and the overview for the scheme.

The Scrutiny Committee were pleased to note the progress made and the quality of the proposed scheme, and welcomed the benefits this would bring to the local area. During the course of the debate, Members sought clarity on the definition and criteria of affordable housing and the type of pricing structure involved. Officers explained that the definition is set in accordance with WG guidelines, in particular Technical Advice Note (TAN) 2 relating to planning and affordable housing, and that there are a number of different elements involved in regards to affordable housing. Further information will become available as the scheme develops. Members expressed concerns that the scale of affordability might be more achievable for those individuals living outside the county borough and looking to relocate in order to commute. They also enquired as to whether the new properties could be ring-fenced to existing residents of the county borough. Officers confirmed that if the social housing element is transferred to Caerphilly Homes, these particular properties would be allocated to those on the Common Housing Register.

In response to Members' queries, Officers outlined the process by which the Council would

purchase the houses which fall under the social housing element, including the use of a Section 106 agreement. The specifics of these will be brought back to Cabinet at a later date.

A Member sought further information on a number of sections across the report and agreed to email his queries to Officers. He highlighted concerns regarding the amount of residential development in the Blackwood area, the impact of the development on the war memorial and encroachment on the neighbouring park. He also suggested that there is a covenant in place to protect use of this area. Officers confirmed that the planning process would address any concerns regarding over-development. They explained that no covenant exists and development would anyway be confined to the civic site itself. The war memorial will remain in its current location but the Sir Harold Finch memorial plaque and adjacent buried time capsule will be relocated in consultation and agreement with family representatives.

Following consideration of the report and in noting its contents, it was moved and seconded that the following recommendations be referred to Cabinet for approval. By a show of hands, this was unanimously agreed.

RECOMMENDED to Cabinet that:-

- (i) the contents of the report be noted;
- (ii) the proposal to transfer the social element of this development to Caerphilly Homes, with the purchase cost being covered from the Housing Revenue Account, be approved.

## 11. WALES AUDIT OFFICE WHQS REVIEW

Consideration was given to the report detailing the follow up review by the Wales Audit Office (WAO) on the Welsh Housing Quality Standard (WHQS) delivery programme, which had been considered by Cabinet on 30th January 2019, and thereafter presented to the Caerphilly Homes Task Group on 12th February 2019 as an information item which was noted without discussion.

The Scrutiny Committee were reminded of the WAO Review in 2017 which reviewed the Council's arrangements to deliver the WHQS by 2020, and concluded that the *"majority of tenants' homes remain below the WHQS standard due to longstanding inefficient and ineffective programme management and the Council is unlikely to achieve the standard by 2020"*. A WAO follow up review undertaken between April and October 2018 has now concluded that *"the Council has responded positively to our June 2017 WHQS report and statutory recommendations by making significant improvements and as a result we now conclude that it is likely to meet the WHQS by December 2020"*.

Ms Non Jenkins (Wales Audit Office) was welcomed to the meeting and provided a detailed summary of the report to the Scrutiny Committee. Ms Jenkins confirmed that the follow up review has been undertaken in two parts, namely a Service User Perspective Review, which focussed on the views from 489 tenants and 25 leaseholders in relation to the delivery of the WHQS programme, and a Follow Up Review to determine whether the Council is meeting its commitments and making satisfactory progress to meet the WHQS by WG's deadline of December 2020. The follow up reports provided by the WAO provide a far more positive picture on the current position of the WHQS programme and also provides independent confidence that Caerphilly Homes are on track to deliver the full



programme by December 2020. A copy of these follow up documents were appended to the Officer's report.

The Service User Perspective Review refers to 3 proposals for improvement, and the report set out details of how the Council will address these moving forward. It was accepted that improvements and consistency are required in the way performance information is presented, which have been addressed within the report. In addition, the Local Housing Strategy will be developed during 2019 and EIAs on key policy reports will be carried out at the appropriate time. Ms Jenkins also highlighted the importance of consistent and proactive tenant engagement and communication, and how issues identified and tenant feedback can be used to strengthen performance moving forward.

In responding to the presentation from Ms Jenkins, the Chief Housing Officer referred to the positive nature of the report and the WAO's acknowledgement of the progress that had been made. He expressed his thanks to relevant Officers, the Scrutiny Committee and the Cross Party Working Group for their work surrounding the WAO review, and highlighted the need to continue momentum in order to achieve the Welsh Quality Housing Standard by the anticipated date of June 2020, rather than the WG deadline of December 2020.

During the course of discussion on the item, queries were received on how the Council planned to strengthen its communication approaches with tenants and leaseholders, and how complaints about the WHQS programme are analysed to strengthen processes. Officers outlined the ways in which information on the WHQS programme is made available, via the Council's website, newsletters, consultation events, social media, working groups, press releases and marketing events. Work is currently ongoing with the Caerphilly Homes Task Group to review the communications process and Officers welcomed suggestions from the Scrutiny Committee. Complaints are dealt with through the Corporate Complaints Policy and the Council responds proactively to any improvements that are needed as a result. A report on Complaints and Representations is also presented to the Task Group on an annual basis.

The Chief Housing Officer highlighted an aspect raised by the Repairs and Improvement Group in that satisfaction surveys should allow for a greater level of tenant feedback in order to manage expectations. Ms Jenkins expressed the importance of knowing the reasons behind feedback and also in gathering geographical locations of the respondents so that improvements can be targeted to areas in need. The Chief Housing Officer confirmed that satisfaction surveys are now undertaken by telephone to allow staff to drill down to any areas that need addressing. The Scrutiny Committee were asked to note however that satisfaction levels are comparable with that of other local authorities in Wales. It was also confirmed that at the time of the meeting, 76% of tenants/leaseholders are now reporting that they are satisfied with the external works, which is an increase from the 71% rate in the WAO survey.

A Member referred to the WAO finding that the Council could better explain to leaseholders and tenants why WHQS works are needed and queried this finding given the continuous promotion of the WHQS programme over the last 6 years. Officers explained that this can sometimes relate to planned maintenance over and above the WHQS requirements, and Ms Jenkins highlighted the importance of giving a timeline and keeping tenant expectations in mind

The Chief Housing Officer also responded to general queries from Members regarding the level of complaints surrounding improvement works, the challenges that can be faced when accessing homes to carry out these works, and of the types of installations used, such as double glazing, draft proofing, and suitable boiler systems.

The Scrutiny Committee thanked Ms Jenkins for her report and it was noted the WAO would continue to monitor progress moving forward. Ms Jenkins did however suggest that the Policy and Resources Scrutiny Committee also needed to ensure that the delivery of the WHQS programme was closely monitored in order for Members to satisfy themselves and provide confidence that compliance by the stated deadline continued to be achievable. Members also extended their thanks to the Chief Housing Officer and his staff for all their work in relation to the WAO Review.

Following consideration of the report, and in recognising the progress made to date, the Policy and Resources Scrutiny Committee unanimously agreed that the attached WAO reports and the Officers responses to the reports and the proposals for improvement be noted.

## **12. RE-PROFILING OF WHQS PROGRAMME AND HRA CAPITAL PROGRAMME 2019/2020**

Paul Smythe (Housing Technical Manager) presented the report, which had previously been considered by the Caerphilly Homes Task Group on 14th February 2019, and outlined proposals for re-profiling the final stages of the WHQS programme with the aim of ensuring full compliance by 2020. The views of the Scrutiny Committee were sought on the content of the report ahead of its presentation to Cabinet.

It was noted that whilst good progress has been maintained on the delivery of the programme during 2018/19, it has been necessary to review and re-align the programme to take account of changing circumstances to ensure that full compliance is achieved by 2020. Based on current and projected performance, the achievement of full compliance is achievable prior to the deadline of December 2020. The separate programme of works for the sheltered housing schemes is also on course, but there has been a need to re-profile a number of schemes as a result of additional external works, along with ecological surveys which have delayed some contracts by a number of months. One sheltered housing scheme (Ty Isaf Risca) has been suspended from the programme due to health and safety grounds, and will be accounted for as an acceptable fail in line with WG guidance pending a feasibility study to determine the future viability of the scheme.

Members also noted the borrowing requirement necessary to complete the programme (currently £43m) which has seen a revision to the HRA Capital Programme budget. Where surveys have yet to be finalised, average costs have been used based on rates from most recent tender submissions. This data has replaced the previous Savill's estimates and demonstrates that the housing business plan and the WHQS programme remains financially viable.

The Scrutiny Committee discussed the contents of the report, and in response to a query regarding the additional costs of the programme, Officers outlined the details of the previous Savills survey and the comprehensive survey work undertaken since to provide a more complete picture of the costs required. A Member referred to the assumptions made in re-profiling the programme to achieve compliance by December 2020. Officers explained that there is confidence that the programme will be achieved before this time, with the aim being March 2020. Although the programme is continuing to experience challenges, such as the recent loss of the second contractor delivering part of the internal works, there are contingencies in place to ensure continuation of the works. Officers outlined the details of the contractor tender process and discussion took place regarding the specifics of the DPS procurement system in this regard and the minimum tender size for internal and external contracts.

Having considered and noted the contents of the report, and in taking into account the comments of the Caerphilly Homes Task Group, it was moved and seconded that the following recommendations be referred to Cabinet for approval. By a show of hands, this was unanimously agreed.

RECOMMENDED to Cabinet that:-

- (i) the contents of the report be noted;
- (ii) the revised WHQS programme and projected increased investment totalling £250m be endorsed;
- (iii) the borrowing requirement necessary to complete the programme (currently £43m) be agreed, with the proviso that the borrowing amount remains affordable within the Business Plan and the HRA.

### **13. ALLOCATION OF NEW HOMES AND THE ROLE OF THE TENANCY ENFORCEMENT SECTION**

Consideration was given to the report, which had been produced following a Member's request, and had previously been presented to the Caerphilly Homes Task Group on 6th December 2018 as an information item, where it was noted without discussion.

Fiona Wilkins (Housing Services Manager) and Sue Cousins (Housing Solutions Manager) summarised the report, which outlined the relevant legislative provisions and associated guidance associated with allocations and provided information on the Council's Common Allocation Policy. It included information on when an applicant can be considered as ineligible for an allocation or suspended from the Common Housing Register, how low demand older persons accommodation is allocated, the role and workload of the Tenancy Enforcement Section (TES) with some comparison with that of a number of local Registered Social landlords, and the obligations of tenants to manage their tenancies in accordance with their tenancy agreement.

During the course of the ensuing debate, a Member expressed concerns regarding the increased workload for TES staff arising from the significant increase in the number of referrals during 2018 and asked if the department has sufficient equipment in stock to handle this increase. The Member moved a motion to request that the Committee consider making a recommendation to Cabinet to allocate additional resources to deal with this increase in referrals. The Member also expressed his thanks to the Tenancy Enforcement Section staff for their hard work during this period.

In response, Officers explained that there had been an exceptionally high level of complaints made to the TES during 2018, particularly during periods of hot weather, and other social landlords within Gwent have also experienced similar increases in reporting levels. The TES are seeing an increasing number of complex cases and multi-agency working is proving effective. It was emphasised that the TES deal with all referrals proactively and the overriding aim is to assist in the prevention of eviction and homelessness. It was also explained that the TES works very closely with the Public Protection team and so can readily access additional noise-monitoring equipment on a temporary basis if required.

In response to a query on the remit of the TES, it was explained that TES investigate complaints of anti social behaviour made against Council tenants, and complaints about non-Council tenants are investigated by Public Protection. The processes within TES

have recently been reviewed with stricter criteria for investigation being introduced. The Scrutiny Committee also discussed the garden monitoring procedure used by staff in the local housing offices for breaches of tenancy including the number of NOSPs (notice of seeking possession) and actual possessions as a result, and it was noted that 194 NOSPs have been served in the last three years and 21 possession orders obtained with no possessions to date. An additional step has very recently been introduced as a further attempt to engage with the tenant in resolving the breach prior to seeking legal intervention. This involves a referral to a Homeless Prevention Officer who will also try to engage with the tenant and provide relevant support, and has proven to be successful in a number of instances.

Officers responded to queries in respect of the Common Allocation Policy and confirmed that they work closely with tenants to allocate housing based on specific need. It was explained that Caerphilly Homes places an increased focus on supporting independent living to allow residents to remain in their own homes for as long as possible. Discussion also took place regarding sheltered housing criteria and Officers provided clarification on the health and safety rationale surrounding restrictions on pets in certain types of sheltered housing complexes.

Having discussed the report and noted its contents, the Committee considered the earlier motion in respect of a potential recommendation to Cabinet to seek additional staff resources for the TES, and this motion was seconded. The Chief Housing Officer addressed the Scrutiny Committee, and explained that although there had been an increasing trend in referrals to the TES during 2018, the situation was being closely monitored and there was no guarantee that the increased workload would continue during 2019. He therefore suggested that it might be more conducive to see whether the pattern continues before considering a need for additional resources.

A further motion was moved and seconded in that a progress report be instead presented to the Scrutiny Committee in six months time. Another Member then proposed an amendment to the earlier motion in that it be recommended to Cabinet that an apprentice position be allocated to the TES. The mover of the original motion confirmed he accepted this amendment, but following further debate, withdrew his motion in full.

The Scrutiny Committee then voted on the substantive motion and by a show of hands, it was unanimously agreed that a progress report in respect of the role and workload of the Tenancy Enforcement Section be presented to the Committee in six months' time.

The meeting closed at 7.35 p.m.

Approved as a correct record and subject to any amendments or corrections agreed and recorded in the minutes of the meeting held on 28th May 2019, they were signed by the Chair.

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CHAIR



## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019**

**SUBJECT: CONSIDERATION OF CALL-IN REQUEST - PROPOSED CHANGES IN FEES AND CHARGES**

**REPORT BY: INTERIM HEAD OF DEMOCRATIC SERVICES**

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### **1. PURPOSE OF REPORT**

- 1.1 To consider under the Council's call-in procedure a decision taken by the Cabinet on 27<sup>th</sup> March 2019.

### **2. SUMMARY**

- 2.1 To consider the call-in request set out in paragraph 5.3 below.

### **3. RECOMMENDATIONS**

- 3.1 That the Committee considers the call-in request and the questions set out in this report and considers whether to refer any concerns to the Cabinet for reconsideration, setting out in writing the nature of its concerns or take no further action.

### **4. REASONS FOR THE RECOMMENDATIONS**

- 4.1 In accordance with the call-in procedure in the Overview and Scrutiny Procedure Rules of the Council's Constitution.

### **5. THE REPORT**

- 5.1 On 27th March 2019 Cabinet considered a report on Proposed Fees and Charges and a copy of this report is attached at Appendix 1 to this report.
- 5.2 The Cabinet resolved that for the reasons contained in the report:-
- (i) the services where fee and charge changes need to be applied be noted, and authorisation be given to the relevant Head of Service in consultation with the Director, relevant Cabinet Member and Head of Corporate Finance to implement changes in line with inflationary and/or commercial conditions prevailing for the service(s);
  - (ii) the relevant Head of Service records and posts any increases in fees and charges in accordance with the authority's scheme or delegation.

5.3 A request has been made for a call-in as follows:

*We the undersigned elected members wish to institute a call in of the Fees and Charges Report passed at Cabinet item 9 on 27/3/19 because the fee setting principle has been set and agreed in the Communities Directorate with no reference to the elected members who sit on the Policy & Resources Scrutiny Committee or the Budget Setting Meeting Full Council in February, and we call for full debate at scrutiny in this regard.*

This call-in was supported by the following Members:

- Councillor K. Etheridge
- Councillor A. Farina-Childs
- Councillor C. Mann
- Councillor J. Taylor
- Councillor L. Whittle

5.4 The request has been considered in accordance with the relevant provisions of the Council's Constitution and has been accepted as a valid call in and has been supported by the appropriate number of Members.

5.5 The Grounds on which a call in can be made is:

- (i) that it conflicts with the Council's policy framework; or
- (ii) that it conflicts with the Council's approved budget; or
- (iii) that it has been made without regard to a material fact or information or without proper consultation which in the opinion of the members making the request would lead to a different decision being made by the Executive.

The Call in is made on the basis of ground (ii) and (iii) above.

5.6 Members are asked to consider the merits of the call-in request and by way of guidance may have regard to the following:-

- (a) Should the report on Changes to Fees and Charges have been considered by Policy and Resources Scrutiny Committee prior to a decision by Cabinet?

The Fees and Charges report was listed in the Cabinet Work programme reported to the following scrutiny committee meetings, prior to the presentation to Cabinet on 27<sup>th</sup> March 2019:

- Policy and Resources Scrutiny Committee 12<sup>th</sup> March 2019
- Health Social Care & Wellbeing Scrutiny Committee 19<sup>th</sup> March 2019
- Regeneration and Environment Scrutiny Committee 26<sup>th</sup> March 2019

- (b) Should the proposals to change fees and charges have been included in the Budget report considered by full Council on 21<sup>st</sup> February 2019?

- (c) if yes to (a) and (b) was there any information not put before the Cabinet which would have led to a different decision being made by the Cabinet?

### **Conclusion**

5.7 Having debated the questions set out above and any other matters, the Committee must consider whether to refer any remaining concerns to the Cabinet for reconsideration, setting out, in writing, the nature of its concerns. If the scrutiny committee agrees to take no further action and does not refer the matter back to Cabinet, the decision shall take effect on the date of the scrutiny meeting.

## **6. ASSUMPTIONS**

6.1 No assumptions have been made or were thought necessary, in respect of this report.

## **7. LINKS TO RELEVANT COUNCIL POLICIES**

7.1 The call-in process is within the Overview and Scrutiny Procedure Rules within the Council's Constitution, in accordance with the Local Government Act 2000.

### **7.2 Corporate Plan 2018-2023.**

The requirement to establish and maintain the Council's Constitution is set out in the Local Government Act 2000 and ensures that decisions take into account and relate to the Corporate Plan.

## **8. WELL-BEING OF FUTURE GENERATIONS**

8.1 The requirement to establish and maintain the Council's Constitution is set out in the Local Government Act 2000 and contributes to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2015 as it sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. It sets the framework for the decision making roles and responsibilities which will impact on future generations.

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh language
- A globally responsible Wales.

## **9. EQUALITIES IMPLICATIONS**

9.1 None other than those set out in the Report to Cabinet.

## **10. FINANCIAL IMPLICATIONS**

10.1 None other than those set out in the Report to Cabinet.

## **11. PERSONNEL IMPLICATIONS**

11.1 None other than those set out in the Report to Cabinet.

## **12. CONSULTATIONS**

12.1 The Chair and Vice - Chair of the Policy and Resources Scrutiny Committee. The Monitoring Officer.

### **13. STATUTORY POWER**

13.1 Local Government Act 2000 and the Local Government (Wales) Measure 2011.

Author: Catherine Forbes-Thompson, Interim Head of Democratic Services  
Consultees: Councillor James Pritchard Chair Policy and Resources Scrutiny Committee  
Councillor Gez Kirby Vice Chair Policy and Resources Scrutiny Committee  
Rob Tranter, Head of Legal Services and Monitoring Officer

Appendices:  
Appendix 1 Report to Cabinet 27<sup>th</sup> March 2019 item 9





## CABINET - 27TH MARCH 2019

**SUBJECT: PROPOSED CHANGES IN FEES AND CHARGES**

**REPORT BY: INTERIM CORPORATE DIRECTOR – COMMUNITIES**

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### 1. PURPOSE OF REPORT

- 1.1 To seek Cabinet approval for officer delegation to apply changes to certain fees and charges within the Communities Directorate and for officer delegation to be agreed for future changes to be applied in the interest of business efficiency.

### 2. SUMMARY

- 2.1 On 21<sup>st</sup> February 2019 Council considered and agreed the Authority's 2019/20 budget but there were no generic fees and charges increases contained within the budget report.
- 2.2 The Authority's financial regulations require Cabinet approval for any increases in fees and charges over and above those agreed as part of the budget setting process at Council.
- 2.3 As there were no generic increase in fees and charges within the Full Council report on the 2019/20 budget, this Cabinet report outlines a number of service areas within the Communities Directorate where fees and charges need to be increased as a result of inflationary and/or commercial market conditions and seeks Cabinet approval in delegating responsibility for implementing any increases to the relevant Head of Service in consultation with the Director, relevant Cabinet Member and Head of Corporate Finance.

### 3. RECOMMENDATIONS

- 3.1 Cabinet is asked to note the services where fee and charge changes need to be applied and authorise the relevant Head of Service in consultation with the Director, relevant Cabinet Member and Head of Corporate Finance to implement changes in line with inflationary and/or commercial conditions prevailing for the service(s).
- 3.2 That the relevant Head of Service records and posts any increases in fees and charges in accordance with the Authority's scheme of delegation.

### 4. REASONS FOR THE RECOMMENDATIONS

- 4.1 To ensure that services can respond to inflationary and/or commercial market conditions and that the correct processes in accordance with the Authority's Financial Regulations and Scheme of Delegation are followed.

## 5. THE REPORT

### 5.1 The Authority's Financial Regulations (paragraph 13.07) state that:-

All fees and charges will be reviewed annually by each Director. Inflationary increases will be agreed as part of the budget setting process for Council. Increases above those agreed as part of the budget setting process will require Cabinet approval. Statutory charges will be reported as and when the Council is notified of any increases.

### 5.2 In the Council's scheme of delegation the Chief Executive, Director or Head of Service, in consultation with the Head of Corporate Finance and relevant Cabinet Member, has the power to set all fees and charges in accordance with the Council's policies.

### 5.3 Members will be aware of the ongoing significant financial challenges moving forward with further savings of circa £44m anticipated for the four-year period 2020/21 to 2023/24. In looking to develop proposals to address this challenge it is widely accepted that the Council cannot continue as it is. There is a need to examine the way in which we use our resources to deliver services required by our communities across the county borough.

### 5.4 The Corporate Management Team is currently working with the Cabinet to establish a vision for 'Caerphilly 2022' and this will form the basis of a report to Cabinet in April 2019. The report will set out details of a programme to examine how services are prioritised, how they can become more business efficient through a series of service reviews, exploring opportunities for greater customer focus, digital delivery, alternative delivery models, and commercial opportunities; whilst looking at preventative measures that will encourage early intervention that will ultimately allow the demand for certain services to be better controlled.

### 5.5 As part of this new way of working a Commercial Strategy will be developed which will set out a framework to review current fees and charges and to identify new opportunities for income generation. This Strategy will need to provide a greater degree of flexibility and delegation in relation to decisions around fees and charges and will be subject to a separate report to Cabinet later this year.

### 5.6 The Communities Directorate provides a large number of front line services with a complex range of fees some of which are statutory in nature (e.g. planning, licensing, food hygiene rating etc.) and others which are commercial in nature and discretionary (e.g.: sport and leisure, building control, event booking fees, venue admission, events spaces/pitches, equipment hire, food and beverages at tourist destinations, commercial waste etc.).

### 5.7 As a result of the discretionary and commercial nature of these services there is a requirement for each service to have the flexibility to change and remain competitive in an often complex commercial environment. This will often necessitate changing fees and charges to reflect commercial conditions (this could mean increasing or reducing fees and charges).

### 5.8 In addition to the need for response to commercial/market changes, there are often complex inflationary increases applied to certain services which are not in-line with the typical inflationary indices (retail price index, RPI or consumer price index, CPI) that have been used in the past.

### 5.9 An example is the Commercial Waste service where the inflationary pressures are three-fold and comprise disposal contract inflation, wage related inflation for collection operatives and fuel inflation. In this regard, although Council agreed pay related growth and non-pay inflationary growth for expenditure budgets as part of the 2019-20 budget setting process, the complexity of other inflationary pressures requires the ability for services to respond by increasing their fees and charges accordingly.

- 5.10 In such circumstances there is a need for services to pass on the inflationary increase through fees and charges (while also seeking to remain competitive in a commercial environment).
- 5.11 The table below outlines the list of services where flexibility to apply fee changes need to be agreed for 2019/20.

Service Area	Service Fee/Charge
Waste Strategy & Operations	<ul style="list-style-type: none"> <li>• Commercial Waste Charges</li> </ul>
Green Spaces & Transport	<ul style="list-style-type: none"> <li>• MOT &amp; Minibus Testing Fees</li> <li>• Outdoor Facilities Fees</li> <li>• Invasive Species Treatments</li> </ul>
Sport & Leisure	<ul style="list-style-type: none"> <li>• Caerphilly Adventures Activity Charges</li> <li>• Sports Development Activity Charges</li> <li>• Leisure Centre Activity Charges</li> <li>• Leisure Centre Room Hire</li> </ul>
Regeneration & Planning	<ul style="list-style-type: none"> <li>• Building Control Fees</li> <li>• Venue &amp; Events Fees (Booking Fees, Venue Admission Charges, Room Hire, Event Pitches, Equipment Hire)</li> <li>• Venue Merchandising</li> <li>• Venue Catering</li> <li>• Property Portfolio Rentals</li> </ul>

## 6. ASSUMPTIONS

- 6.1 There are no specific fees and charges set out in this report as the report is seeking flexibility for services to respond to inflationary and commercial pressures or opportunities.
- 6.2 However, if Cabinet is minded to agree the flexibility for service areas to respond to these changes it has been assumed that:-
- (i) The Head of Service will liaise with the relevant Cabinet Member, and Corporate Director (Communities) & Head of Corporate Finance in determining fee increases.
  - (ii) Any increases will be recorded and posted in accordance with the Authority's scheme of delegation.
  - (iii) Any savings resulting from fee increases will form part of the Medium Term Financial Plan (MTFP) savings considerations for the service/directorate from 2020/21 onwards.

## 7. LINKS TO RELEVANT COUNCIL POLICIES

- 7.1 Effective financial planning, the setting of balanced budgets and efficient delivery of services is at the heart of everything the Council does and is fundamental to the future of local service delivery.
- 7.2 The principles articulated in this report will assist services to remain commercially competitive, to assist with the achievement of efficient service delivery while delivering against future savings requirements.
- 7.3 The report therefore contributes to all of the objectives within the corporate plan 2018-2023 and the Authority's MTFP principles.

## **8. WELL-BEING OF FUTURE GENERATIONS**

8.1 Effective financial planning and effective budget setting and management supports the 7 Well-being goals within the Well-being of Future Generations Act (Wales) 2015, namely:-

- A Prosperous Wales
- A Resilient Wales
- A Healthier Wales
- A More Equal Wales
- A Wales of Cohesive Communities
- A Wales of Vibrant Culture & Thriving Welsh Language
- A Globally Responsible Wales

8.2 Affordability, sustainability and competitiveness of services ensures their longevity and the ethos of this report is to provide the flexibility to achieve this.

8.3 Consequently the affordability of services cuts across of all the 7 Well-being goals listed above.

## **9. EQUALITIES IMPLICATIONS**

9.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. No potential for unlawful discrimination and/or low level or minor negative impact has been identified, therefore a full EIA has not been carried out.

## **10. FINANCIAL IMPLICATIONS**

10.1 The ability to be flexible to market demands or trends and inflationary pressures is fundamental to the future competitiveness (and ultimately survival), and efficiency of many of the front line services delivered by Caerphilly County Borough Council.

10.2 While the financial benefits of the approach advocated in this report are difficult to accurately quantify, the approach will benefit services moving forward and enable Heads of Service to divert income above budget target levels into the MTFP for 2020-21 onwards.

## **11. PERSONNEL IMPLICATIONS**

11.1 There are no specific personnel implications associated with this report although it is important to note that additional income and the enhanced competitiveness of services is likely to have a positive effect on protecting front line service jobs.

## **12. CONSULTATIONS**

12.1 The consultees listed below have been consulted on this report and their views have been incorporated accordingly.

## **13. STATUTORY POWER**

13.1 Local Government Act 2003.

Author: Mark. S. Williams, Interim Corporate Director – Communities  
willims@caerphilly.gov.uk

Consultees: Councillor Barbara Jones, Deputy Leader & Cabinet Member for Finance,  
Performance & Governance  
Councillor Sean Morgan, Deputy Leader & Cabinet Member for Economy,  
Infrastructure, Sustainability & Wellbeing of Future Generations  
Councillor Nigel George, Cabinet Member for Neighbourhood Services  
Councillor Eluned Stenner, Cabinet Member for Environment, Public Protection &  
Planning  
Councillor Lisa Phipps, Cabinet Member for Homes & Places  
Christina Harray, Interim Chief Executive  
Ed Edmunds, Corporate Director for Education & Corporate Services  
Dave Street, Corporate Director for Social Services & Housing  
Nicole Scammel, Head of Corporate Finance & Section 151 Officer  
Steve Harris, Interim Head of Business Improvement Services  
Rob Hartshorn, Head of Public Protection, Community & Leisure Services  
Rhian Kyte, Head of Regeneration & Planning  
Marcus Lloyd, Head of Infrastructure  
Mark Williams, Interim Head of Property  
Rob Tranter, Head of Legal Services and Monitoring Officer

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## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019**

**SUBJECT: POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES**

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### **1. PURPOSE OF REPORT**

1.1 To report the Policy and Resources Scrutiny Committee Forward Work Programme.

### **2. SUMMARY**

2.1 Forward Work Programmes are essential to ensure that Scrutiny Committee agendas reflect the strategic issues facing the Council and other priorities raised by Members, the public or stakeholders.

### **3. RECOMMENDATIONS**

3.1 That Members consider any changes and agree the final forward work programme prior to publication.

### **4. REASONS FOR THE RECOMMENDATIONS**

4.1 To improve the operation of scrutiny.

### **5. THE REPORT**

5.1 The Policy and Resources Scrutiny Committee forward work programme includes all reports that were identified at the Forward Work Programme Workshop on 12th March 2019. The work programme outlines the reports planned for the period 28th May 2019 to 24th March 2020.

5.2 The forward work programme is made up of reports identified by officers and members. Members are asked to consider the work programme alongside the cabinet work programme and suggest any changes before it is published on the council website. Scrutiny committee will review this work programme at every meeting going forward alongside any changes to the cabinet work programme or report requests.

5.3 The Policy and Resources Scrutiny Committee Forward Work Programme is attached at Appendix 1. The Cabinet Work Programme is attached at Appendix 2. A copy of the prioritisation flowchart is attached at appendix 3 to assist the scrutiny committee to determine

what items should be added to the forward work programme.

#### 5.4 **Conclusion**

The work programme is for consideration and amendment by the scrutiny committee prior to publication on the council website.

### 6. **ASSUMPTIONS**

6.1 No assumptions are necessary.

### 7. **LINKS TO RELEVANT COUNCIL POLICIES**

7.1 The operation of scrutiny is required by the Local Government Act 2000. The Local Government Wales Measure 2011 and subsequent Statutory Guidance include requirements to publicise the work of scrutiny committees. The operation of scrutiny committee forward work programmes was agreed following decisions by Council in October 2013 and October 2015.

#### 7.2 **Corporate Plan 2018-2023.**

Scrutiny Committee forward work programmes contributes towards and impacts upon the Corporate Well-being Objectives by ensuring that the Executive is held to account for its Corporate Objectives, which are:

Objective 1 - Improve education opportunities for all

Objective 2 - Enabling employment

Objective 3 - Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people's well-being

Objective 4 - Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment

Objective 5 - Creating a county borough that supports a healthy lifestyle in accordance with the sustainable Development Principle within the Wellbeing of Future Generations (Wales) Act 2015

Objective 6 - Support citizens to remain independent and improve their well-being

### 8. **WELL-BEING OF FUTURE GENERATIONS**

8.1 The Forward Work Programmes contribute to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2016 by ensuring there is an effective scrutiny function and that council policies are scrutinised against the following goals:

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh Language



- A globally responsible Wales

## **9. EQUALITIES IMPLICATIONS**

9.1 There are no specific equalities implications arising as a result of this report.

## **10. FINANCIAL IMPLICATIONS**

10.1 There are no specific financial implications arising as a result of this report.

## **11. PERSONNEL IMPLICATIONS**

11.1 There are no specific personnel implications arising as a result of this report.

## **12. CONSULTATIONS**

12.1 There are no consultation responses that have not been included in this report.

## **13. STATUTORY POWER**

13.1 The Local Government Act 2000, The Local Government (Wales) Measure 2011.

Author: Rebecca Barrett, Committee Services Officer, [barrem@caerphilly.gov.uk](mailto:barrem@caerphilly.gov.uk)  
Consultees: Catherine Forbes-Thompson, Interim Head of Democratic Services  
Richard Edmunds, Corporate Director for Education and Corporate Services  
Robert Tranter, Head of Legal Services/ Monitoring Officer

Appendices:  
Appendix 1 Policy and Resources Scrutiny Committee Forward Work Programme  
Appendix 2 Cabinet Forward Work Programme  
Appendix 3 Forward Work Programme Prioritisation Flowchart

APPENDIX 1

<b>Policy &amp; Resources Scrutiny Committee Forward Work Programme April 2019 to April 2020</b>			
<b>Meeting Date: 28<sup>th</sup> May 2019</b>			
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Customer and Digital Strategy	To present to the Committee the Customer & Digital Services Strategy for Caerphilly. To seek the views of Members on the Strategy and associated strategic action plan before its onward submission to Cabinet.	To present to the Committee the Customer & Digital Services Strategy for Caerphilly. To seek the views of Members on the Strategy and associated strategic action plan before its onward submission to Cabinet.	Liz Lucas, Head of Customer & Digital Services
Workforce Planning	To provide Policy & Resources Scrutiny Committee with an update of the workforce planning exercise which commenced in 2018	To ensure Members are updated regarding the number of employees that left the Authority, the total cost and total savings.	Lynne Donovan, Head of People Services
Office 365 (O365) Proposed Implementation	To present to the Committee the proposed principles on implementation of the Office 365 solution for Caerphilly. To seek the views of Members on the principles before its onward submission to Cabinet.	In line with the Council's proposed Customer & Digital Strategy, Offices have been investigating the implementation of the latest version of the Microsoft Office 365 (O365) suite of tools. The attached report highlight the proposed principles for the rollout.	Liz Lucas, Head of Customer & Digital Services
Future Caerphilly Transformation Strategy – <i>#TeamCaerphilly – Better Together</i>	To present the Future Caerphilly Transformation Strategy - <i>#TeamCaerphilly – Better Together</i> .  To seek the views of the Scrutiny Committee prior to the Strategy being presented to Cabinet on the 12 <sup>th</sup> June 2019.	The Transformation Strategy sets out details of a proposed new “whole-authority” operating model to ensure a resilient Caerphilly County Borough for the future.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer

<b>Meeting Date: 9<sup>th</sup> July 2019 (Performance Management Meeting)</b>			
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Year End Performance for Corporate Services 2018/19	To provide the Scrutiny Committee with details of year-end performance for the Directorate of Corporate Services.	<p>The report will provide details of the key achievements for the Directorate during the 2018/19 financial year along with details of those areas that did not go so well.</p> <p>A suite of supporting information will be provided in a Directorate Performance Assessment.</p>	<p>Richard Edmunds, Corporate Director for Education &amp; Corporate Services</p> <p>Stephen Harris, Interim Head of Business Improvement Services &amp; Acting S151 Officer</p>

**Meeting Date: 1st October 2019**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Capital Outturn 2018/19	To advise members of Final audited capital spend against the Authority's capital schemes for 2018/19.To highlight slippage and under/overspends	Ensuring capital spend is within approved allocations.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer

**Meeting Date: 12<sup>th</sup> November 2019**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Treasury management half year report 2019/20	To update members in respect of performance against the Authority's Treasury Management Strategy and targets for investment income.	Ensuring level of investment income on target to budget for 2019/20 and advise of borrowing for 2019/20.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer

**Meeting Date: 11<sup>th</sup> December 2019 (Medium-Term Financial Plan Special)**

Subject	Purpose	Key Issues	Witnesses
Draft Savings proposals	To allow members the opportunity to ask questions and give views on the Draft 2020/21 Budget proposals.	To ensure members are given the opportunity to scrutinise the Cabinet's Draft Budget proposals for 2020/21.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer  Richard Edmunds, Corporate Director for Education & Corporate Services

**Meeting Date: 14<sup>th</sup> January 2020**

Subject	Purpose	Key Issues	Witnesses
Update on Reserves	To ensure members have the opportunity to ask questions about the level of reserves held by the Authority at Financial year end 31 <sup>st</sup> March 2019. In addition, to ensure there is an understanding around the need to hold reserves.	Ensuring Authority is open and transparent about what reserves are held for and why.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer
Whole Authority Budget Monitoring	To provide members with a Budget Monitoring report for the whole Authority for 2019/20. To include all scrutiny reports by Directorate and estimates for spend to financial year end.	Ensuring budget monitoring reports are presented and members are given the opportunity to see how spend is progressing against budget to ensure services spend within Council approved limits.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer  Richard Edmunds, Corporate Director for Education & Corporate Services

<b>Meeting Date: TBC (Performance Management Meeting)</b>			
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Treasury Management Strategy	To provide members with the opportunity to endorse or suggest changes to the TM Strategy prior to Full Council approval.	To ensure members have the opportunity to ask questions and propose changes for Full Council to consider in respect of the TM Strategy.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer



**Meeting Date: 25th February 2020**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Treasury management – Period 9 (or Info?)	To update members in respect of performance against the Authority's Treasury Management Strategy and targets for investment income.	Ensuring level of investment income on target to budget for 2019/20 and advise of borrowing for 2019/20.	Stephen Harris, Interim Head of Business Improvement Services & Acting S151 Officer

**Meeting Date: 7<sup>th</sup> April 2020**

Subject	Purpose	Key Issues	Witnesses

**Meeting Date: 28<sup>th</sup> May 2019 – Information Reports**

Subject	Purpose	Key Issues	Witnesses

<b>Meeting Date: 9th July 2019 – Information Reports</b>			
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Write off Debts	To advise members of the amount of bad debt that is irrecoverable and hence has been written off in the financial year 2018/19.	To comply with Financial Regulations	Stephen Harris, Interim Head of Business Improvement Services
Corporate Services & Miscellaneous Finance Revenue Grants 2019-20	To advise members of grant funding streams available for 2019/20 in respect of Corporate services.	To ensure members are aware of grant funding changes and the level of service funded by specific grants in Corporate services.	Stephen Harris, Interim Head of Business Improvement Services
Corporate Services & Miscellaneous Finance Budgets 2019-20	To advise members of the budgets for corporate service areas and miscellaneous finance for 2019/20.	To ensure members are aware of lower level budget allocations following approval of the budget by Council for 2019/20.	Stephen Harris, Interim Head of Business Improvement Services

**Meeting Date: 1<sup>st</sup> October 2019 - Information Reports**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Corporate Services & Miscellaneous Finance - Budget Monitoring - Period 4	To advise members of any forecast under or overspends for 2019/20 in respect of corporate services and miscellaneous finance, along with any corrective actions required. To ensure spend is in line with budget.	To ensure members are aware of any issues in respect of services overspending.	Stephen Harris, Interim Head of Business Improvement Services
Treasury Management Outturn 2018/19	To advise members of actual activity and returns in respect of investment and borrowing for 2019/20, in accordance with the Authority's TM Strategy.	To advise members of the actual audited outturn position for 2019/20, in accordance with CIPFA best practice.	Stephen Harris, Interim Head of Business Improvement Services

**Meeting Date: 12<sup>th</sup> November 2019 - Information Reports**

Subject	Purpose	Key Issues	Witnesses

**Meeting Date: 11<sup>th</sup> December 2019 - Information Reports (MTFP Special)**

Subject	Purpose	Key Issues	Witnesses

<b>Meeting Date: 14<sup>th</sup> January 2020 - Information Reports</b>			
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>
Write off Debts	To advise members of the amount of bad debt that is irrecoverable and hence has been written off for the first 6 months of 2019/20.	To comply with Financial Regulations	Stephen Harris, Interim Head of Business Improvement Services
Capital budget monitoring 2019/20 -Period 7	To advise members of any forecast under or overspends,including notification of slippage in respect of capital schemes for 2019/20.	To ensure members are aware of any issues in respect of capital expenditure.	Stephen Harris, Interim Head of Business Improvement Services
Capital Strategy 2020/21	For members to consider and make comment on the Capital Strategy prior to approval at Full Council.	To ensure members have an opportunity to call this report to the Agenda if they wish to ask questions and raise comments /or changes prior to Council approval.	Stephen Harris, Interim Head of Business Improvement Services
Corporate Services & Miscellaneous Finance - Budget Monitoring - Period 7	To advise members of any forecast under or overspends for 2019/20 in respect of corporate services and miscellaneous finance, along with any corrective actions required. To ensure spend is in line with budget.	To ensure members are aware of any issues in respect of services overspending.	Stephen Harris, Interim Head of Business Improvement Services



**Meeting Date: TBC (Performance Management Meeting) - Information Reports**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>

**Meeting Date: 25<sup>th</sup> February 2020 - Information Reports**

<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>

**Meeting Date: 7th April 2020 - Information Reports**

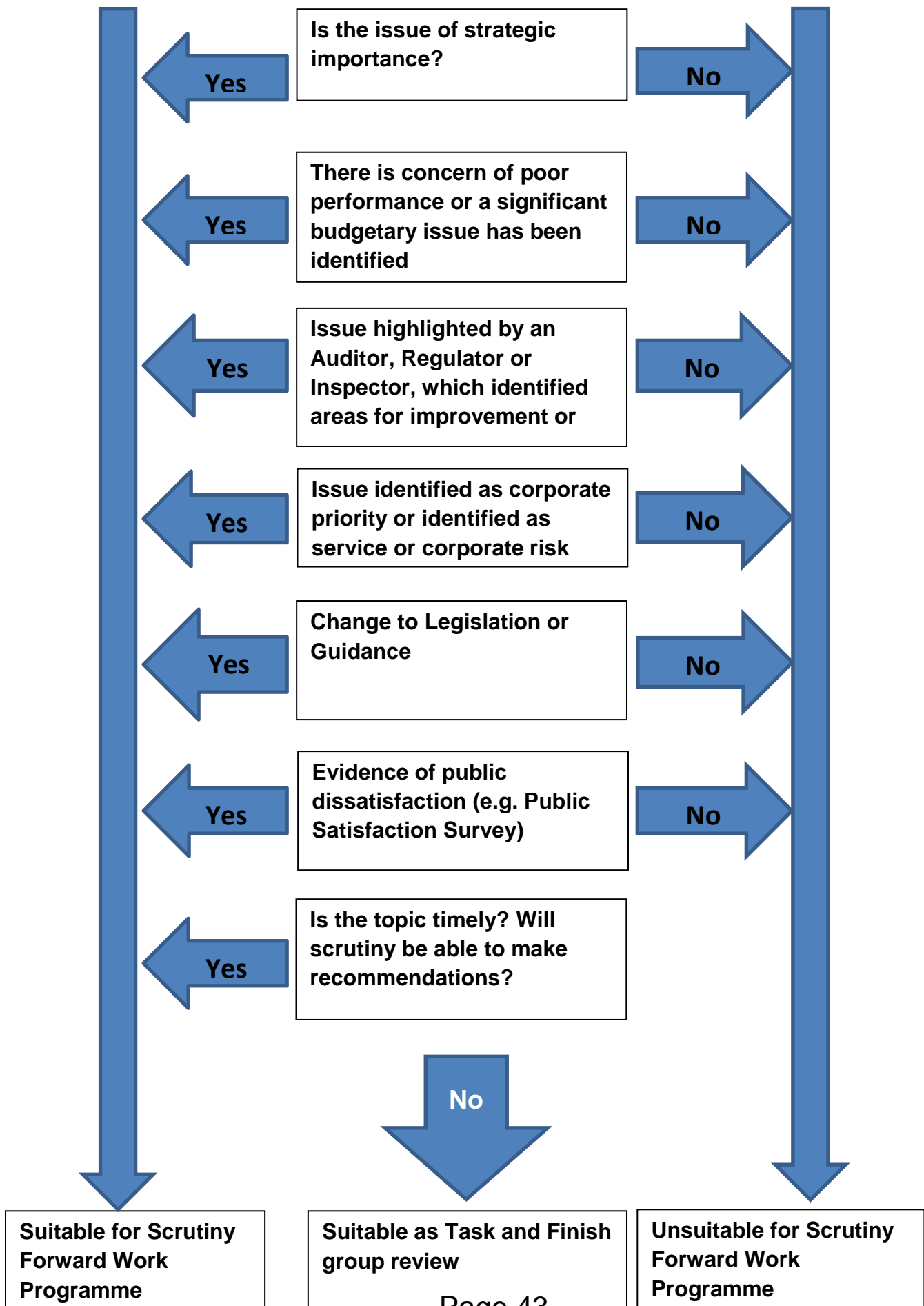
<b>Subject</b>	<b>Purpose</b>	<b>Key Issues</b>	<b>Witnesses</b>

<b>Cabinet - Forward Work Programme</b>			
<b>Title</b>	<b>Key Issues</b>	<b>Author</b>	<b>Cabinet Member</b>
<b>Wednesday - 29/05/2019 Cabinet &amp; PDM</b>			
Community Asset Transfer Principles	To seek Cabinet approval on a set of principles in relation to the transfer of playing fields and sporting organisations	Mike Headington	Cllr. Nigel George
Regeneration Board Project Proposals	To provide Cabinet with an update on the work of the Regeneration Project Board and to recommend a further list of priority schemes for Development Funding to Cabinet	Alan Dallimore	Cllr. Sean Morgan
<b>Wednesday - 12/06/2019 Cabinet &amp; PDM</b>			
Impact Of Universal Credit and Homelessness	To advise Cabinet of the initial impact of Universal Credit and to seek approval of the policies we have in place to manage the impact.	Shaun Couzens	Cllr. Lisa Phipps
Affordable Housing New Build	For Cabinet to note the progress on a number of new builds and refurbishment projects, and to seek Cabinet approval to appropriate the land at Ty Darren, Risca and the transfer of associated funds to Caerphilly Homes.	Shaun Couzens/ Mark Williams	Cllr. Lisa Phipps

Future Caerphilly Transformation Strategy	To seek Cabinet approval of a new operating model for the Council	Steve Harris	Cllr. Barbara Jones
Digital Strategy	To seek approval of the Council's digital strategy.	Liz Lucas	Cllr. Colin Gordon
Office 365	To explore the principles for the roll out of Office 365	Liz Lucas	Cllr. Colin Gordon
Page 41 Provisional Outturn for 2018/19	To provide Cabinet with details of the provisional outturn for the 2018/19 financial year prior to the annual audit by the Authority's External Auditor, Grant Thornton	Stephen Harris	Cllr. Barbara Jones
<b>Wednesday - 26/06/2019 Cabinet &amp; PDM</b>			
Hafodyrynys Air Quality Feasibility Study	To present for approval for public consultation the draft Final Plan prepared in response to the Air Quality Direction issued by Welsh Government in respect of compliance with the EU Air Quality Directive at Hafodyrynys	Rob Hartshorn	Cllr. Eluned Stenner
Review of CCBC Regeneration Grants	To make recommendations to Cabinet following a review undertaken on the revenue and capital grant schemes currently administered by the Council's Regeneration Division. The report outlines proposals to amalgamate the grants into a combined "Caerphilly Enterprise Fund" and to focus their delivery to areas where they will have the biggest impact.	R. Kyte	Cllr. Sean Morgan

Annual Welsh Language Standards Report 2018-19	To present to Cabinet the report which include a progress update on the Welsh Language Strategy	Anwen Cullinane	
Energy Generation and Savings Options	To outline work undertaken by the authority on energy conservation and carbon reduction, and to outline further opportunities resulting from energy Management / Generation.	Allan Dalimore	Cllr. Sean Morgan
Outturn Report			
<b>Wednesday - 10/07/2019 Cabinet &amp; PDM</b>			
Consultation Response Report - Federation of Schools	Cabinet to consider the responses received as part of the formal consultation process and determine whether to proceed to formal federation for the 4 groups of schools included within the report.	Sue Richards	Cllr. Philippa Marsden
Corporate Plan 2018 - 2023	To provide an update on progress	Ros Roberts	Cllr. Barbara Jones
Armed Forces: Guaranteed Interview Scheme	To consider a guaranteed interview scheme for former Armed Forces service leavers, reservists, veterans and spouses if they meet the vacancy essential criteria.	Lisa Rawlings	Cllr. Barbara Jones
<b>Wednesday - 24/07/2019 Cabinet &amp; PDM</b>			
Cabinet - Cancelled			

### Scrutiny Committee Forward Work Programme Prioritisation



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## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019**

**SUBJECT:       WORKFORCE PLANNING EXERCISE**

**REPORT BY:   CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE  
SERVICES**

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### **1.       PURPOSE OF REPORT**

- 1.1       The purpose of the report is to provide Policy and Resources Scrutiny Members with an update of the workforce planning exercise that commenced in the Summer 2018.

### **2.       SUMMARY**

- 2.1       Members will be aware that the report to Council on 22 February 2018, confirmed the need to make estimated savings of £38m over the five year period 2017/18 to 2021/22. This is in addition to the £82m savings made since 2008.
- 2.2       In order to try to support the achievement of these savings, all non-school employees were written to by the Interim Chief Executive on 31 July 2018, outlining the financial situation and seeking to understand the next steps in their career, if they wished to share them, to assist the Council with its future workforce planning.

### **3.       RECOMMENDATIONS**

- 3.1       Members are asked to note the contents of the report.

### **4.       REASONS FOR THE RECOMMENDATIONS**

- 4.1       The recommendation ensures that the Committee Members are updated in relation to the workforce planning exercise that commenced in the Summer 2018.

### **5.       THE REPORT**

- 5.1       Members will be aware that since 2008, the Council has made savings of £82m and the report to Council on 22 February 2018, confirmed the need to make further estimated savings of £38m over the next five years.
- 5.2       Despite these challenges, the Council has responded well to them, and in order to continue to operate well in this environment the Cabinet is setting out a clear vision for the future of the Council. In order to deliver this vision, we need to ensure that we have a workforce that is sustainable over the long term and is equipped with the necessary skills to meet the needs of our residents as well as the changing demands of services.

- 5.3 The Council will always try to achieve any reductions required in staffing numbers via natural wastage, not filling vacancies and redeployment. However, the numbers required to achieve the Medium Term Financial Plan (MTFP) savings will not be achieved via this approach. The Council always wishes to avoid a situation of compulsory redundancy, whenever possible.
- 5.4 To support the developing workforce plan and the requirements of the MTFP, a letter went to all non-school employees on 31<sup>st</sup> July 2018, to ascertain whether they wished to share the next steps in their career with us.
- 5.5 All employees were given the opportunity to submit a voluntary expression of interest for the following options, should they so wish:
- a) Reduction of hours (this could consist of a move to part time working or job-share)
  - b) Flexible retirement
  - c) Voluntary severance
  - d) Early retirement by mutual consent.
- 5.6 The letter stressed to employees that they did not have to submit an expression of interest; that any expression of interest submitted would not be binding; and that there was no guarantee that any expression of interest submitted would be approved.
- 5.7 Employees were asked to submit their expression of interest by no later than 31<sup>st</sup> August 2018.
- 5.8 514 expressions of interest were received in response to the letter from the Interim Chief Executive and 8 employees withdrew their expression of interest very quickly after submitting them.
- 5.9 Each expression of interest was considered in detail by the relevant Senior Management Team, Corporate Management Team, Human Resources (HR), Finance and the Cabinet Member for Corporate Services, to determine whether a business case could be developed which was viable from a financial, operational and organisational perspective
- 5.10 The table below provides the numbers of supported business cases per service area.

<b>Directorate</b>	<b>No of business cases supported</b>
<b>Communities</b>	26
<b>Education &amp; Corporate Services</b>	14
<b>Social Services</b>	7
<b>Total</b>	<b>47</b>

- 5.11 After being advised that their requests could be supported, a further 2 employees withdrew their expressions of interest, both of which were from Social Services.

5.12 The table below details the workforce flexibility policy that underpinned the support of each business case.

<b>Workforce Flexibility Policy</b>	<b>No of business cases supported</b>
Early retirement	8
Flexible retirement	1
Voluntary Severance	35
Reduction of hours	1
<b>Total</b>	<b>45</b>

5.13 The table below provides the end dates of employment for the 43 employees affected i.e. those who were supported via business cases for early retirement and voluntary severance.

<b>End date of employment</b>	<b>No of business cases supported</b>
31 <sup>st</sup> December 2018	7
31 <sup>st</sup> January 2019	3
28 <sup>th</sup> February 2019	8
31 <sup>st</sup> March 2019	24
31 <sup>st</sup> May 2019	1
<b>Total</b>	<b>43</b>

5.14 All business cases recommending access to early pension have been considered by the Council's Pensions and Compensation Committee.

5.15 The workforce planning exercise will be ongoing work and subject to continuous review in order to support the Council's MTFP challenges.

5.16 The Trade Unions were fully consulted about this workforce planning exercise and have been regularly kept up to date with progress. They will continue to be kept up to date as appropriate.

### **Conclusion**

5.17 A robust business case process is in place to scrutinise requests for employees to leave the Authority with payment via one of the workforce flexibility policies, which includes Elected Member involvement via the Cabinet Member for Corporate Services and also the Pensions and Compensation Committee where necessary.

## **6. ASSUMPTIONS**

6.1 There are no assumptions made within this report.

## 7. LINKS TO RELEVANT COUNCIL POLICIES

7.1 The employment relationship is fundamental to the People Management Strategy and all HR policies.

### 7.2 Corporate Plan 2018-2023.

The workforce planning exercise contributes towards the Corporate Well-being Objectives, as detailed below:

Objective 2 - Enabling employment.

## 8. WELL-BEING OF FUTURE GENERATIONS

8.1 Having considered the five ways of working, the workforce planning exercise contributes to the following Well-being Goals:

- A healthier Wales
- A more equal Wales

## 9. EQUALITIES IMPLICATIONS

9.1 With an ageing workforce and changes to retirement age and pension contributions, together with increased financial pressures on the Council's budget, this report ensures that as fair an approach as possible has been taken in order to balance so many different issues and avoid compulsory redundancies.

## 10. FINANCIAL IMPLICATIONS

10.1 The table below details the total cost and total annual savings per service area of the 45 supported business cases.

<b>Directorate</b>	<b>Total One-off Cost (£)</b>	<b>Total Annual Savings (£)</b>
<b>Communities</b>	394,546	610,949
<b>Education &amp; Corporate Services</b>	357,201	493,394
<b>Social Services</b>	134,495	154,365
<b>Total</b>	<b>886,242</b>	<b>1,258,708</b>

10.2 The one-off cost of £886,242 results in year-on-year savings of £1,258,708, meaning that the outlay effectively pays back within 8.4 months.

10.3 Members should note that £43,000 of the annual savings relate to the Housing Revenue Account (HRA), with the balance of £1,215,708 being attributable to the General Fund.

## 11. PERSONNEL IMPLICATIONS

11.1 The personnel implications are included within the report.

## **12. CONSULTATIONS**

12.1 All consultation responses have been reflected in this report.

## **13. STATUTORY POWER**

13.1 Local Government Act 1972  
Local Government Pension Scheme Regulations 2013, as amended.  
Employment Rights Act 1996

Author: Lynne Donovan, Head of People Services  
Consultees: Corporate Management Team  
Robert Tranter, Head of Legal Services & Monitoring Officer  
Stephen Harris, Interim Head of Business Improvement & S151 Officer  
Cllr Colin Gordon, Cabinet Member for Corporate Services  
Cllr Barbara Jones, Deputy Leader and Cabinet Member for Finance, Performance and Governance  
Cllr James Pritchard, Chair of Policy & Resources Scrutiny Committee  
Cllr Gez Kirby, Vice Chair of Policy & Resources Scrutiny Committee

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## POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019

**SUBJECT: FUTURE CAERPHILLY TRANSFORMATION STRATEGY –  
#TEAMCAERPHILLY – BETTER TOGETHER**

**REPORT BY: INTERIM CHIEF EXECUTIVE**

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### 1. PURPOSE OF REPORT

- 1.1 To present the Scrutiny Committee with the draft Future Caerphilly Transformation Strategy, **#TeamCaerphilly – Better Together**.
- 1.2 To seek the views of Members on the draft Strategy and associated Strategic Action Plan prior to its consideration by Cabinet on the 12<sup>th</sup> June 2019.

### 2. SUMMARY

- 2.1 The Council's **#TeamCaerphilly – Better Together** Transformation Strategy is attached at Appendix 1.
- 2.2 The Strategy sets out details of a new 'whole organisation' operating model, which has the following clear purpose: -  
  
*"To create capacity and foresight to develop solutions to some of the County Borough's biggest challenges, ensuring the Council understands and responds to the changing needs and priorities of our communities".*
- 2.3 The Strategic Action Plan attached to the Strategy provides details of a forward work plan and activities to deliver on the key elements of the new operating model.

### 3. RECOMMENDATIONS

- 3.1 Members of the Scrutiny Committee are asked: -
  - 3.1.1 To consider and comment upon the content of the Strategy and Strategic Action Plan prior to its consideration by Cabinet on the 12<sup>th</sup> June 2019.
  - 3.1.2 To support a recommendation to Cabinet that £425k be set aside to fund 3 fixed-term posts for an initial period of 2 years, to provide the additional capacity required to support the delivery of the Strategy.
  - 3.1.3 To support a recommendation to Cabinet that the £425k for the proposed 3 fixed-term posts should be funded from the £1.8m earmarked reserve approved by Council on the 31<sup>st</sup> July 2018, which was established to provide funding for one-off costs associated with delivering savings to support the Medium-Term Financial Plan (MTFP).

#### 4. REASONS FOR THE RECOMMENDATIONS

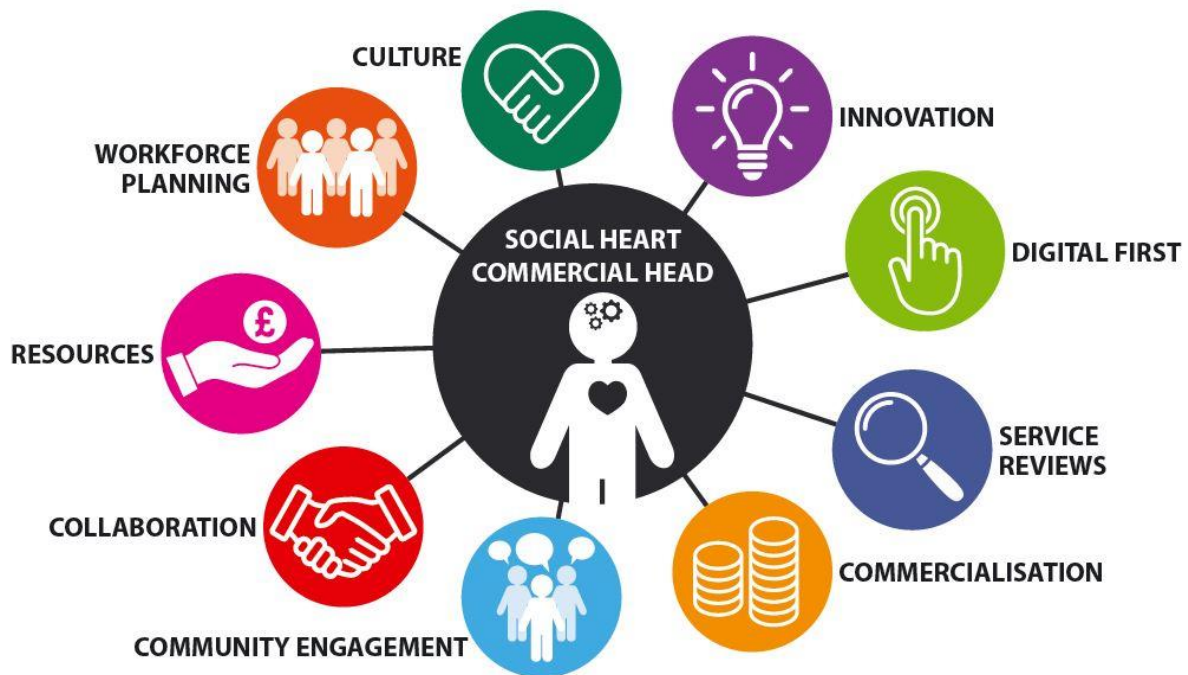
- 4.1 To ensure that the views of the Scrutiny Committee are considered prior to the **#TeamCaerphilly – Better Together** Transformation Strategy being presented to Cabinet.

#### 5. THE REPORT

- 5.1 Our core purpose is to support sustainable and resilient communities across the County Borough. For the last few years we have managed the tension between reduced funding and the growing demands for services. The disparity continues to increase, and to thrive within this new environment, demands a new way of thinking. We are a strong, resilient Council with a detailed knowledge of our people and place, so we are well placed to rise to the challenge and seize the opportunities our journey of transformation will bring.
- 5.2 We provide over 800 services to the citizens of Caerphilly and there are many demands placed upon them: -
- The financial challenge and the need to deliver more with less;
  - Our ageing population who want to be able to live in their own homes whilst managing complex health needs;
  - Our varied communities and the gap we have between poverty and prosperity, underlying the need for high quality jobs and an attractive local environment;
  - Climate change and increasing energy costs, which demands a focussed approach to green energy; and finally
  - The fast pace of digital technology, which can offer so many opportunities to change the services we provide and how we work with our communities.
- 5.3 A simple response to these challenges might be to reduce service provision and staff numbers; an approach we wish to resist. Our current organisational operating model is described as “traditional”, but it has served us well. However, we now have to stretch ourselves, to think about the future and how our County Borough will look in the next decade and beyond.
- 5.4 The authority is embarking on a major transformation programme to examine how services are prioritised, how they can become more business efficient, to explore opportunities for greater customer focus and digital delivery, and to consider alternative delivery models and seek out commercial opportunities.
- 5.5 To make this ambitious programme of change a reality, courageous political and officer leadership will be essential to ensure that we successfully deliver the outcomes that we are aiming to achieve. Furthermore, to enable us to continue providing high quality value for money services in an environment that will require new approaches and new skills, we will also need to build a new relationship with our staff and our communities.
- 5.6 The Transformation Strategy **#TeamCaerphilly – Better Together** is attached as Appendix 1 and articulates the combined vision of the Cabinet and the Corporate Leadership Team that has been developed over the last 12 months.
- 5.7 The Strategy is multi-faceted and at the core of this programme of change will be our new mantra of *Social Heart and Commercial Head*. This recognises our commitment to public service and the needs of our citizens, but also demonstrates a commitment to explore commercial and investment opportunities, where appropriate, to generate income that can be reinvested in services to help them remain resilient.



5.8 The strategic programme of “whole-authority” work will be delivered through the following key themes, which will underpin the new operating model of the Council: -



5.9 Underpinning this model of delivery will be an integrated programme of social, economic and environmental regeneration projects that will begin to reshape the County Borough. These are: -

- The completion of a £261m physical improvement programme to our housing stock by 2020, through the delivery of the Welsh Housing Quality Standard (WHQS). Using Phase 2 of the emergent WHQS programme we will continue to invest in our existing housing stock to provide high quality, energy efficient, affordable homes for life. This will be further enhanced with an exciting and innovative new build programme
- Implementing the Shared Ambitions Strategy to raise standards and ensure our learners are healthy, confident, proud and ambitious and can benefit from high quality educational opportunities, settings and experiences.
- The commencement of the second phase of the 21st Century schools programme, providing £110m of new educational facilities.
- Delivering the Council’s emerging Digital Strategy by opening the Digital Front Door and introducing a wide ranging digital transformation programme that transforms every aspect of service delivery.
- The provision of a new Children’s Centre, which will be a “state of the art” centre of excellence providing respite care and therapeutic services for our vulnerable children and their families.
- Continuing the delivery of the Sports and Active Recreation Strategy, providing a sustainable approach to leisure and physical activity provision.
- The introduction of an integrated “one-stop shop” public service offer located within the heart of our communities, through the provision of strategically located integrated hubs, enhancing our engagement and service offer to the public.

- An exciting programme of economic, social and environmental investments to enable inclusive growth and opportunity across the County Borough, that aligns and positions us firmly with the City Region's economic ambitions. This will also include maximising our Green energy credentials through effective and innovative use of our assets.
- Making best use of our financial resources through a managed "risk-based" investment approach to enable delivery of the programme.

5.10 Through this cohesive, whole-authority programme we are aiming: -

- To have strong working relationships with our communities and partners to maximise the use of our collective resources to ensure a resilient County Borough for the future.
- To embed a new operating model that will encourage innovative approaches to service delivery and ensure that we are making the best use of our resources.
- To help close the gap between poverty and prosperity through improving educational attainment and stimulating the local economy to create high quality jobs.
- To make Caerphilly County Borough a better place to live, work and visit.

5.11 There will be a need to ensure that we have sufficient capacity within the Council to drive forward the ambitious transformation programme to achieve successful delivery. We will harness the range of skills and experience within our workforce and create opportunities for staff to lead and be involved in various workstreams.

5.12 Whilst we will maximise the use of existing staff, there will be a requirement to establish some additional capacity to help drive forward our new approach at pace. It is therefore proposed to appoint three Transformation Managers; initially on fixed-term contracts for a period of two years. The individual portfolios for these Managers will be: -

- Innovation
- Commercial Investment
- Workforce Planning

5.13 The new ways of working will lead to efficiencies, savings and additional income that will help us deal with the continuing financial challenge that we face. In that regard the proposed investment in the three fixed-term posts should be seen as an 'invest to save' approach. If we do not create the capacity and embed the new ways of working then we will inevitably revert to a 'salami slicing' approach to achieving financial savings.

5.14 Effective communication and engagement will form a key part in the implementation of the **#TeamCaerphilly – Better Together** Strategy as it is vitally important that all our stakeholders (internal and external) are aware of this exciting new approach and get the chance to fully engage with the process to help shape our services in the future.

5.15 If Cabinet are minded to approve the Strategy, the first phase of communication will focus on 'launch' activity to raise initial awareness about the new approach. The main aim initially will be to signpost people to further information about the Strategy, which will be hosted on the CCBC website.

5.16 This will be done using a mix of digital and traditional communication channels to reach as many stakeholders as possible across the County Borough. A short video will be produced and the Council's popular social media channels will be fully utilised. The June edition of Newline will include a prominent feature about the new Strategy and this will be delivered to every home in the County Borough. Information will also be issued to the local media outlets.

- 5.17 A significant amount of internal communication will be required to ensure that staff at all levels across the organisation are fully briefed and engaged in the process. Video blogs, newsletters, briefing notes and Intranet information will be made available to employees and Elected Members to coincide with the launch activity. We will also be arranging a new series of Staff Roadshows during the autumn.
- 5.18 Looking further ahead, this work will form a key part of the Council's 'Caerphilly Conversation' campaign as we seek to engage with all sections of the community in our journey of transformation moving forward.
- 5.19 We will also ensure that effective feedback mechanisms are in place to enable us to update our residents, staff and other stakeholders and maintain a two way flow of communication throughout the process.
- 5.20 The Strategic Action Plan for **#TeamCaerphilly – Better Together** is appended to the Strategy document and identifies both political and officer leads for the key actions that will help us manage the transformation journey, and will allow us to monitor and demonstrate our progress.
- 5.21 As the initial high-level strategic actions are brought to fruition, a range of further specific actions, key milestones and measures will emerge. The overarching Strategic Action Plan will be regularly updated to reflect these changes.
- 5.22 Progress against the Strategic Action Plan will be reviewed on a quarterly basis by the Corporate Management Team, in its capacity as the **#TeamCaerphilly Project Board**.
- 5.23 Members will note that six-monthly progress reports will also be presented to Cabinet, and the Policy and Resources Scrutiny Committee will receive an annual progress report.

## **Conclusion**

- 5.24 With reducing budgets, mounting demand pressures, and commitments to localism, place-shaping and focussing more upon the needs of citizens; our current operating model is no longer fit-for-purpose.
- 5.25 The **#TeamCaerphilly – Better Together** Transformation Strategy sets out details of a new 'whole-authority' operating model to meet the significant challenges that lie ahead, and to ensure a resilient Caerphilly County Borough for the future.
- 5.26 The challenge is big but the opportunities to repurpose and reshape the Council and the County Borough are even greater!
- 5.27 This is our collective 'call to action' and we're confident that through working together as **#TeamCaerphilly**, we have a real opportunity to thrive.

## **6. ASSUMPTIONS**

- 6.1 It is assumed that the Council will continue to face significant financial and service challenges as we move forward and the 'business as usual' approach is no longer appropriate. This underpins the need for the programme of change in the **#TeamCaerphilly – Better Together** Transformation Strategy.

## **7. LINKS TO RELEVANT COUNCIL POLICIES**

- 7.1 The **#TeamCaerphilly - Better Together** Transformation Strategy introduces a new operating model for the local authority. For this reason it supports whole-authority delivery.

## 7.2 Corporate Plan 2018-2023: -

The Strategy, and associated Strategic Action Plan, supports the delivery of the Corporate Well-being Objectives in the Corporate Plan 2018-2023: -

**Objective 1** - Improve education opportunities for all.

**Objective 2** - Enabling employment.

**Objective 3** - Address the availability, condition and sustainability of homes throughout the County Borough and provide advice, assistance or support to help improve people's well-being.

**Objective 4** - Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment

**Objective 5** - Creating a County Borough that supports a healthy lifestyle in accordance with the sustainable Development Principle within the Wellbeing of Future Generations (Wales) Act 2015.

**Objective 6** - Support citizens to remain independent and improve their well-being.

## 8. WELL-BEING OF FUTURE GENERATIONS

8.1 The **#Team Caerphilly – Better Together** Transformation Strategy will assist the authority in its duties as a public body under the Well-being of Future Generations (Wales) Act 2015 to contribute to the well-being goals for Wales: -

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh Language
- A globally responsible Wales

8.2 Delivery of the Strategy is dependent on using the sustainable development principle within the new operating models: -

- **Long Term** – The Strategy will enable the authority to meet its long-term aims and secure sustainable services. Its approach takes a long-term view of assessing all services to ensure their fitness for the future.
- **Prevention** – Taking a commercial approach will allow reinvestment in services and will enable us to protect delivery that may be at risk of further budget cuts.
- **Integration** – Working with communities will support a shared understanding of community well-being; releasing our staff capacity and considering the use of our assets for community purposes are part of our contribution to **#TeamCaerphilly**, in which we expect communities to play their part.
- **Collaboration** – The Strategy sets out a strategic approach to collaboration that maximises opportunities and outcomes.
- **Involvement** – We support greater engagement with communities and will support our staff to be more innovative in finding solutions to problems.

## 9. EQUALITIES IMPLICATIONS

- 9.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. No potential unlawful discrimination and/or low level or minor negative impact has been identified; therefore a full EIA has not been carried out.

## 10. FINANCIAL IMPLICATIONS

- 10.1 The “*#TeamCaerphilly – Better Together*” Transformation Strategy aligns with the Cabinet's Medium-Term Financial Plan (MTFP) savings principles, and the new operating model will be a key element in ensuring that the Council remains financially resilient moving forward.
- 10.2 Whilst we will maximise the use of existing staff, there will be a requirement to establish some additional capacity to help drive forward our new approach at pace. It is therefore proposed to appoint three Transformation Managers; initially on fixed-term contracts for a period of two years. The individual portfolios for these Managers will be: -
- Innovation
  - Commercial Investment
  - Workforce Planning
- 10.3 The total cost of the proposed 3 fixed-term posts for a period of two years will be £425k. It is recommended that this should be funded from the £1.8m earmarked reserve approved by Council on the 31st July 2018, which was established to provide funding for one-off costs associated with delivering savings to support the Medium-Term Financial Plan (MTFP).
- 10.4 As the various elements of the Strategy are further developed there will be a need for one-off investments to pump-prime the service changes required. Investments will need to be supported by robust business cases, clearly demonstrating how the funding will lead to service efficiencies and savings. These additional investments will be subject to further Cabinet reports as they arise.

## 11. PERSONNEL IMPLICATIONS

- 11.1 Apart from creating the required capacity to drive forward the ambitious transformation programme at pace there are no other direct personnel implications at this stage.

## 12. CONSULTATIONS

- 12.1 All consultation responses have been reflected in this report.

## 13. STATUTORY POWER

- 13.1 The Local Government Acts 1998 and 2003.

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Consultees: Leader and Cabinet Members  
Corporate Management Team  
Heads of Service and Management Network  
Cllr J Pritchard, Chair of P&R Scrutiny Committee  
Cllr G Kirby, Vice-Chair of P&R Scrutiny Committee  
Cllr C Mann, Leader, Plaid Group  
Cllr K Etheridge, Leader, Independent Group  
Lianne Dallimore, Unison  
Kelly Andrews and Neil Funnell, GMB

Background Papers:

Cabinet Report (27/06/18) - Provisional Outturn for 2017/18

Council Report (31/07/18) - Financial Statements 2017/18

Appendices:

Appendix 1 – Future Caerphilly Transformation Strategy – “**#TeamCaerphilly – Better Together**”

# #TeamCaerphilly BETTER TOGETHER

A new “whole-authority” operating model to ensure a resilient Caerphilly County Borough for the future



# CONTENTS

	Page
1 FOREWORD Cllr David Poole, Leader and Christina Harrhy, Interim Chief Executive	2
2 INTRODUCTION	3
3 OUR VISION AND PURPOSE	5
4 OUR NEW OPERATING MODEL	7
5 CREATING THE RIGHT ORGANISATIONAL CULTURE	9
6 ENCOURAGING AND SUPPORTING INNOVATION	11
7 EMBRACING NEW TECHNOLOGIES – “DIGITAL FIRST”	12
8 ESTABLISHING A STRUCTURED PROGRAMME OF SERVICE REVIEWS	13
9 ADOPTING A COMMERCIAL APPROACH	15
10 ENGAGING AND WORKING WITH OUR COMMUNITIES	17
11 ACTIVELY SEEKING OPPORTUNITIES FOR COLLABORATION	19
12 RESOURCES AND CAPACITY	21
13 ENSURING THAT WE HAVE A WORKFORCE THAT IS FIT FOR THE FUTURE	23
14 PROGRAMME MANAGEMENT ARRANGEMENTS	24
15 THE #TEAMCAERPHILLY STRATEGIC ACTION PLAN	25
16 HOW TO FIND OUT MORE	26
APPENDIX 1 - THE #TEAMCAERPHILLY STRATEGIC ACTION PLAN	27



# 1 FOREWORD

Our core purpose is to support sustainable and resilient communities across the County Borough. For the last few years we have managed the tension between reduced funding and the growing demands for services. The disparity continues to increase, and to thrive within this new environment, demands a new way of thinking. We are a strong, resilient Council with a detailed knowledge of our people and place, so we are well placed to rise to the challenge and seize the opportunities our journey of transformation will bring.

We need to be assured that we are providing services that meet the diverse needs of our people, which are sustainable, efficient and effective with the full support of our communities. We must also find our place within an ever more complex set of relationships which are now needed between the public and private sectors, community and place.

We provide over 800 services to the citizens of Caerphilly and there are many demands placed upon them: -

- The financial challenge and the need to deliver more with less;
- Our ageing population who want to be able to live in their own homes whilst managing complex health needs;
- Our varied communities and the gap we have between poverty and prosperity underlying the need for high quality jobs and an attractive local environment;
- Climate change and increasing energy costs, which demands a focussed approach to green energy; and finally
- The fast pace of digital technology, which can offer so many opportunities to change the services we provide and how we work with our communities.

A simple response to these challenges might be to reduce service provision and staff numbers - an approach we are trying to resist. Our current organisational operating model is described as "traditional", but it has served us well. However, we now have to stretch ourselves, to think about

the future and how our County Borough will look in the next decade and beyond.

The challenge is big but the opportunities to re-purpose and re-shape the Council and the County Borough are even greater!

Our transformation journey must happen at scale and at pace, and our core principle that underpins this movement is a Council that has a **Social Heart and a Commercial Head**.

We must be bold and brave. We must be able to anticipate future opportunities and be ready to make the most of them. We need to ensure we are ready for the challenges facing us.

This 'whole organisation' new operating model is being launched as **#TeamCaerphilly - Better Together**. It has a clear purpose: *"to create capacity and foresight to develop solutions to some of the County Borough's biggest challenges, ensuring the Council understands and responds to the changing needs and priorities of our communities"*.

The programme takes us initially to our first key milestone of 2022 (to coincide with the current administration) and then beyond. It will consider everything we do and how we will do it in the future.

Real impact can only be made if we are all working towards the same objectives together and this is where the power of **#TeamCaerphilly** will really work. We all love and cherish our County Borough and we all have an equal role to play in shaping it - whether you are an individual, a business, a school, a community group, a Councillor, or Council official - we each have a vested interest in making our people and place successful.

This is our collective call to action and we're confident that through working together as **#TeamCaerphilly**, we have a real opportunity to thrive.

**Cllr David Poole**  
Leader

**Christina Harry**  
Interim Chief Executive

# 2 INTRODUCTION

The authority is embarking on a major transformation programme to examine how services are prioritised, how they can become more business efficient, to explore opportunities for greater customer focus and digital delivery and to consider alternative delivery models and seek out commercial opportunities.

To enable us to continue providing high quality value for money services in an environment that will require new approaches and new skills, we will also need to build a new relationship with our staff and our communities.

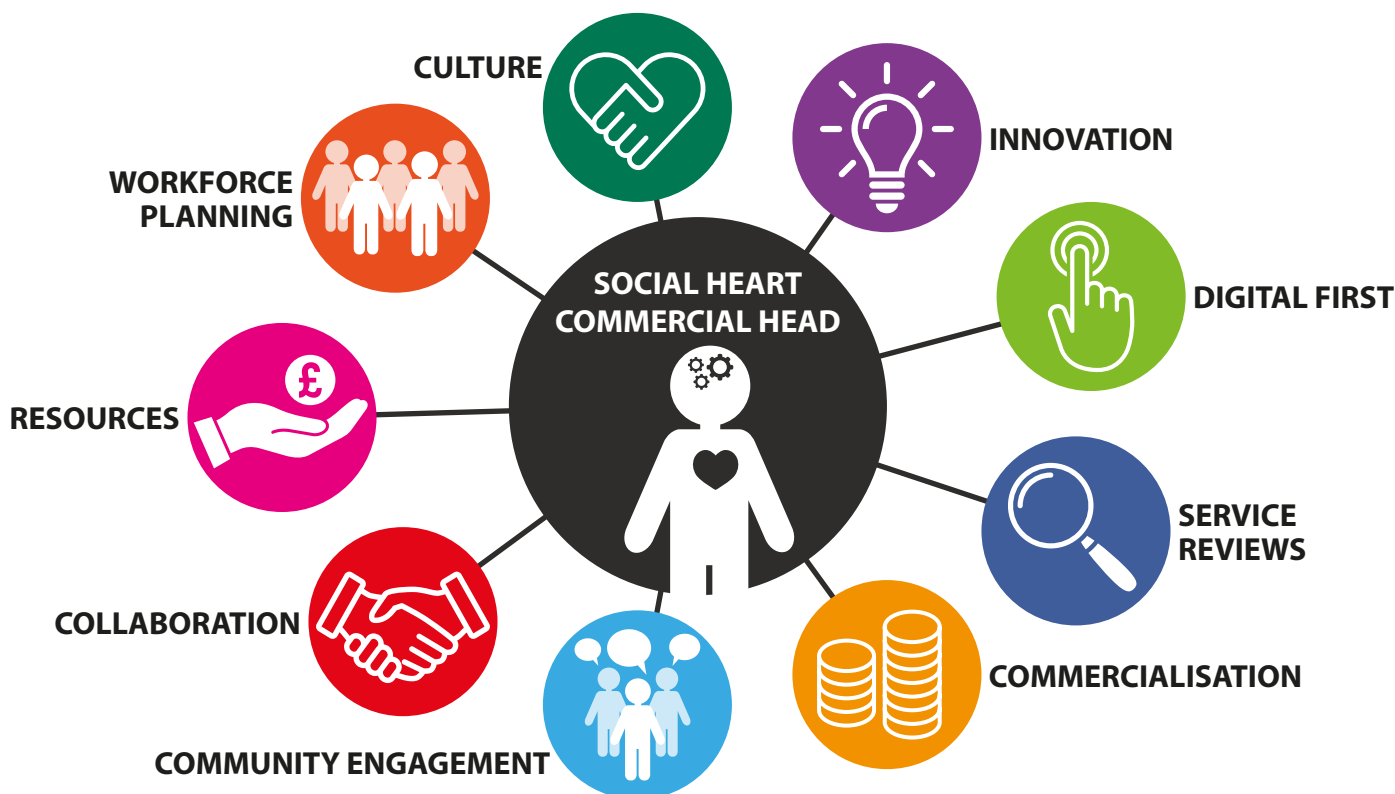
This ambitious programme of change articulates the combined vision of the Cabinet and the Corporate Leadership Team and has been developed over the last 12 months. In making this Strategy a reality, courageous political and officer leadership will be essential to ensure that we successfully deliver the

outcomes that we are aiming to achieve.

Our transformation strategy **#TeamCaerphilly - Better Together** is multifaceted and is based on a range of key components that will underpin everything that we do and will be fully embedded into our new operating model (see diagram below).

The outcomes we aim to achieve are: -

- To have strong working relationships with our communities and partners to maximise the use of our collective resources to ensure a resilient county borough for the future.
- To embed a new operating model that will encourage innovative approaches to service delivery and ensure that we are making the best use of our resources.
- To help close the gap between poverty and prosperity through improving educational attainment and stimulating the local economy to create high quality jobs.



- To make Caerphilly County Borough a better place to live, work and visit.

The case for change is well understood. Since the 2008/09 financial year the Council has cut over £100 million from its budget due to the ongoing programme of austerity and further savings totalling circa £44 million are anticipated for the four-year period 2020/21 to 2023/24.

This, coupled with the rising demands associated with an ageing population, helping people with complex health needs to remain in their own homes, the gap between poverty and prosperity, climate change and digital advancement, demands a new approach that enables us to deliver “more with less”.

To date the Council has responded to the financial challenge with limited impact on front-line services. However, in planning for the future of the County Borough we know that the needs of our communities are changing and that the demographic profile of our population is shifting. For example, by 2036 the number of people living in the County Borough over the age of 85 will increase by 119%.

We know that future jobs, skills, employment and education will be underpinned by technology. The Cardiff Capital Region City Deal will provide the most important opportunity for stimulating the local economy for generations to come. Employment leads to prosperity and equality of opportunity.

We have a duty to be globally responsible in everything we do and we must deliver our services in an efficient, effective and sustainable way.

Our partners are operating in similarly challenging environments and we need to maximise our collective abilities through working in collaboration across the public, voluntary and community sectors.

We are redefining our vision and values as an organisation. Our operating principles will need to change to meet our vision for the future. We are developing a new set of values

and our staff have been actively engaged in this exciting opportunity for positive change. We will help them with this through new support and development practices.

We have identified the key local authority projects that will increase our resilience and we will deliver these through robust programme management. Our recently adopted *Sport and Active Recreation Strategy* is a good example of our future approach - consolidating and supporting viable services into the future.

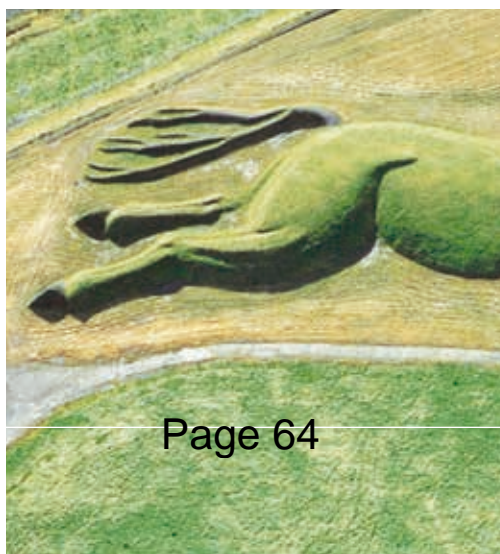
The Council is committed to protecting vulnerable people and providing services as equitably as possible across the whole of the county borough. However, we must be more commercially minded in our approaches to service provision and look for opportunities to increase income that can be reinvested in services.

The way in which we interact and engage with our communities must be more meaningful and integrated fully into our strategies, so our current approach will need to change. We have to manage the expectations of our communities and we must develop a mutual understanding that we simply cannot deliver services in the same ways that we always have. We will listen carefully to the views of our communities in shaping future services and we will explain the rationale behind any decisions made.

Tough choices will need to be made and we will need to prioritise essential services. We will be open and honest in how we make these choices and we want our communities and staff to be part of the discussion.

Our staff are a dedicated and valued resource and we will ensure that we support and equip them with the required skills and competencies they will need to ensure the successful delivery of the new operating model that will underpin this transformation programme.

# 3 OUR VISION AND PURPOSE



The Council's current Cabinet will lead the administration until the next local government elections in May 2022. The Cabinet launched a set of commitments to the organisation, to staff and to communities early on in its tenure, which are incorporated into the Council's Corporate Plan 2018-2023.

**The Cabinet commitments are: -**

- We will always do our best to protect jobs and services within the current challenging financial climate.
- We will build on Caerphilly County Borough Council's reputation as an innovative, high performing local authority.
- We will ensure we have an engaged and motivated workforce.
- We will always strive to ensure Caerphilly County Borough Council delivers value for money in everything it does.
- We will help protect the most vulnerable people in our society and make safeguarding a key priority.
- We will always welcome feedback and consider the views of residents, staff and other key stakeholders.
- We will be open, honest and transparent in everything we do.

These commitments will be an integral element of the emerging service transformation programme, and future changes to service delivery models will also need to align with the 6 Well-being Objectives set out in the Corporate Plan 2018-2023, namely: -

- Improve education opportunities for all.
- Enable employment.
- Address the supply, condition and sustainability of homes throughout the County Borough and provide advice, assistance or support to help improve people's health and well-being.
- Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment.

- Creating a County Borough that supports a healthy lifestyle in accordance with the sustainable development principle in the Wellbeing of Future Generations Act.
- Support citizens to remain independent and improve their well-being.

Our Well-being Objectives are reflected in, and support, those of our partners on the Caerphilly Public Services Board. Across the public and voluntary sector we are working in collaboration to secure the well-being of our future generations.

The new operating model has a clear purpose - *"to create capacity and foresight to develop solutions to some of the County Borough's biggest challenges, ensuring the Council understands and responds to the changing needs and priorities of our communities"*.

The real strength and impact of the new approach set out in our transformation strategy will only be realised if we are all collectively working towards the same aims and objectives. We have approximately 9,000 staff across the Council and we serve approximately 180,000 residents. We have a significant business community located across the County Borough, 86 schools and many community groups.

*'Working Together for the Good of All'* has been the authority's mission statement since it was created in 1996. This concept is still relevant, but is now mainly used in a civic context.

We are all very proud of our County Borough and each of us has an equal role to play in helping shape it. It is this collective approach that we wish to harness and reinforce through our new delivery approach as **#TeamCaerphilly - Better Together**.

Our new approach will reflect the 'team ethos' that we will instil throughout the organisation and indeed the wider County Borough and our communities.

# 4 OUR NEW OPERATING MODEL

**#TeamCaerphilly - Better Together** is a strategic programme of “whole-authority” transformational change delivered through a new operating model for the way that we provide services.

We will need to move away from traditional models of service delivery, embrace change, be prepared to innovate and take well managed risks. We will also need to modernise through harnessing emerging technologies and fully engaging with our workforce and communities.

At the core of this programme of change will be our new mantra of **Social Heart and Commercial Head**. This recognises our commitment to public service and the needs of our citizens, but also demonstrates a commitment to explore commercial and investment opportunities, where appropriate, to generate income that can be reinvested in services to help them remain resilient.

This strategic programme of “whole-authority” work will be delivered through the following key themes: - (see diagram below)

These key themes will underpin the new operating model for the Council and alongside this over the next 3 years we will begin to re-shape our communities across the County Borough through an integrated, but focused programme of transformation, which will include: -

- The completion of a £261m physical improvement programme to our housing stock by 2020, through the delivery of the Welsh Housing Quality Standard (WHQS). Using Phase 2 of the emergent WHQS programme we will continue to invest in our existing housing stock to provide high quality, energy efficient, affordable homes for life. This will be further enhanced with an exciting and innovative new build programme.



- Implementing the Shared Ambitions Strategy to raise standards and ensure our learners are healthy, confident, proud and ambitious and can benefit from high quality educational opportunities, settings and experiences.
- The commencement of the second phase of the 21st Century schools programme, providing £110m of new educational facilities.
- Delivering the Council's emerging Digital Strategy by opening the Digital Front Door and introducing a wide ranging digital transformation programme that transforms every aspect of service delivery.
- The provision of a new Children's Centre, which will be a "state of the art" centre of excellence providing respite care and therapeutic services for our vulnerable children and their families.
- Continuing the delivery of the Sports and Active Recreation Strategy, providing a sustainable approach to leisure and physical activity provision.

- The introduction of an integrated "one-stop shop" public service offer located within the heart of our communities, through the provision of strategically located integrated hubs, enhancing our engagement and service offer to the public.
- An exciting programme of economic, social and environmental investments to enable inclusive growth and opportunity across the County Borough, that aligns and positions us firmly with the City Region's economic ambitions. This will also include maximising our Green energy credentials through effective and innovative use of our assets.
- Making best use of our financial resources through a managed "risk-based" investment approach to enable delivery of the programme.

Robust governance and programme management arrangements will be established to ensure that key milestones are agreed to support the successful delivery of these key strategic projects.



# 5 CREATING THE RIGHT ORGANISATIONAL CULTURE

Our new ways of working will require a resetting of our culture and effective, purposeful political and officer leadership to drive the ambitious change agenda forward. Employees and Elected Members at all levels need to understand why the organisation is changing, and they will also need to embrace a culture that will help shape the way the Council delivers in the future. They are the key enablers and the success of our transformational journey is dependent on the 'buy in' and support from our workforce.

It is important that every employee understands where they fit within their own service areas and within the wider organisation. Each service area is developing their own purpose statements, that will help staff at all levels better understand the key role they play in the **#TeamCaerphilly** ethos.

A new **#TeamCaerphilly** Culture Book is in the process of being developed, and this will include purpose statements for each

Directorate, along with details of key priorities for service areas. This Culture Book will be made available in both digital and printed formats, and will also include details of the values and behaviours that we will encourage in our staff to support the culture that we will need to deliver our new operating model.

Whilst there is an implied set of **values and behaviours** that staff are expected to observe (as outlined in the Council's Code of Conduct), we do not have a 'user friendly' reference tool which outlines the day-to-day values and behaviours that the Council expects from its employees in the workplace.

The Culture Book will be an a key reference source for staff, as well as being a useful management tool to be used during staff inductions, 1-2-1 meetings and performance development reviews etc.

Following a series of Staff Roadshows in 2018, staff told us the type of environment they wanted to work in and what was important to them: -





We will honour this in our interactions with our staff. Communication of the vision for the authority and the values and behaviours that we share will be key to transforming the authority, and this will be captured in our Culture Book.

We have already shared a new set of values and behaviours with our staff at various internal engagement events, and these will now be fully embedded into our new operating model: -

- **Innovative:** We will empower staff to develop innovative and creative responses to challenges faced within a safe culture of mutual respect.
- **United and Connected:** We share a vision that serves the common good; we will actively collaborate and engage in healthy internal communication.
- **Trusted:** We will act credibly, reliably, and will foster, support and maintain positive relationships.
- **Resilient:** We will build teams that are able to rise to the challenges we face and adapt to any adverse conditions.
- **Open and Transparent:** We will communicate openly, share information, listen and appreciate other perspectives, give prompt feedback and learn from our mistakes.

These values and behaviours complement our already adopted Customer Service Standards, which are that **we will always be:** -



### WELCOMING...

Providing a courteous, positive and lasting impact.



### PASSIONATE...

In our aim to change things for the better.



### DEPENDABLE...

Building long term relationships on trust and transparency.



### FAIR...

We will always strive to do the right thing.



### IN TOUCH...

Interactive and diverse in our communication.

## KEY ACTIONS

Culture Book to be finalised, approved and formally launched with staff

## TIMESCALE

30th November 2019

# 6 ENCOURAGING AND SUPPORTING INNOVATION

We need to challenge existing service models and embrace emerging technologies to increase efficiency and secure value for money.

We will need to learn from best practice nationally and internationally and be prepared to take well managed risks.

We will undertake extensive research to identify successful innovative service delivery models, and alongside this staff will be encouraged to explore alternative ways of providing services through a **Licence to Innovate**.

If staff have good ideas they will be asked to check them against the following criteria: -

- *Is it something we are able to do?*
- *Have the potential risks been considered?*
- *Do we have the money to do it?*
- *Is it the right thing to do for our businesses and/or our communities?*

**If these criteria are met then staff will have a "Licence to Innovate".**

Full details of the "Licence to Innovate" initiative will be launched at Staff Roadshows that are scheduled to take place during the Autumn.

We will also recognise staff commitment and will introduce a recognition scheme;

Striving for Excellence. Often good work goes unnoticed, we want to take the time needed to breathe, look around, and reward the efforts of our workforce.

We want our staff to make suggestions, trial new approaches and contribute to transforming the authority through the Licence to Innovate.

We will recognise, acknowledge and support ideas that drive forward innovation for **#TeamCaerphilly**.

Our new staff mantra will be: -

**BE BOLD! BE BRAVE! BE BRILLIANT!**



## KEY ACTIONS

Licence to Innovate initiative to be launched

Striving for Excellence staff recognition scheme to be launched

## TIMESCALE

During staff roadshows (Autumn 2019)

During staff roadshows (Autumn 2019)

# 7 EMBRACING NEW TECHNOLOGIES - “DIGITAL FIRST”

We will need to embrace new technologies to modernise the way that we work, streamline processes, improve workflow and drive out efficiencies.

We will explore opportunities for automation wherever appropriate and will aim to improve the customer experience in interactions with the Council.

During 2018 the Cabinet approved one-off funding of £600k for investment in new technologies and a Customer and Digital Strategy and Strategic Action Plan has been developed which is available on the Council’s website.

The Council will embrace digital as a culture, rather than just technology. We will adopt a learning ethos which will allow us to be open and learn from our mistakes, challenging the status quo to bring about real value public services for our citizens.

It is our aim to keep pace with the growing expectations from the customer for sustainable, effective public services.

Caerphilly will become a Digital Organisation, with clear leadership that will cultivate a “can do” attitude to support all of our stakeholders.

Our Customer and Digital Strategy will be a living programme; flexible, adaptable and alive to the changing environment; modular in nature so that it is easy to review and updated annually in line with developments in the digital landscape.

Our approach will be continuous improvement to bring about real change, and to improve the lives of those who live and work within the County Borough. Where appropriate our interactions with our customers and wider stakeholders will be digital by default.



## KEY ACTIONS

## TIMESCALE

Customer and Digital Strategy to be approved by Cabinet

12th June 2019

Progress against key actions in the Customer and Digital Strategy to be regularly reported to and monitored by the Digital Leadership Group

Frequency to be agreed

# 8 ESTABLISHING A STRUCTURED PROGRAMME OF SERVICE REVIEWS

We will introduce a structured programme of service reviews that will evaluate the services that we provide and ensure that they remain relevant, and are provided in the most effective and efficient ways to ensure that value for money is being achieved.

The service reviews will also provide an opportunity to generate financial savings and will consider the following as a minimum: -

- *The objectives of each service review.*
- *What is the service being delivered and why do we do it?*
- *Why do we deliver the service in the way that we do?*
- *Who is the service delivered to and does it add value?*
- *What outcomes are being achieved and are*

*they good enough?*

- *What is the current cost of delivery?*
- *How do costs compare with other providers?*
- *How can the service be delivered with less resource?*
- *What are the other options for delivering the service?*
- *Is there potential to eliminate waste and duplication?*
- *Can processes be automated to deliver savings and efficiencies?*
- *Are there opportunities to work with citizens, communities and the third sector to promote further engagement in shared local delivery?*
- *Are there commercial opportunities to generate additional income?*



A consistent approach to service reviews will be adopted, and a service directory will be prepared to provide an evidence base to help identify those services that will be prioritised for review in the early years of the Council's transformation programme.

The programme of service reviews will allow our senior officers, staff and Elected Members to meaningfully engage with decisions about future delivery, aligned to our Medium-Term Financial Plan. To support this we will ensure that our central services (Finance, Human Resources, Procurement, IT Services and Business Improvement) are actively supporting, enabling and challenging programme delivery and performance outcomes.

Where we are considering service changes we will engage fully with our communities, to ensure that their views are part of the decision-making process.

We will define service standards following each review so everyone is clear of what we will deliver and what (if applicable) others will do.

Service Review pilots are currently being undertaken in the Catering Service and the Building Cleaning Service and the learning from these will inform the structured approach that we will adopt moving forward.

KEY ACTIONS	TIMESCALE
Service Review pilots in Catering and Building Cleaning to be completed	31st July 2019
Service Directory to be completed	30th September 2019
Consistent methodology for Service Reviews to be adopted	30th September 2019
Structured programme of Service Reviews to be agreed and implemented	Cabinet approval by 31st October 2019

# 9 ADOPTING A COMMERCIAL APPROACH

Central to our whole-authority programme of transformational change is our new mantra of **Social Heart and Commercial Head**. This recognises our commitment to public service and the needs of our citizens, but also demonstrates our desire to explore commercial opportunities where appropriate, to generate additional income to reinvest in services to help them remain resilient.

The Council provides 'cradle to grave' services to local residents. It supports local enterprise and investment, educates our young people, protects vulnerable people, and is the steward of our environment and infrastructure. Social justice and fairness are at the centre of everything we do.

However, this is a new era for local government, and whilst we will be maintaining

our focus on our customers and essential services, we will need to seek out innovation, find alternative ways of delivering services and adopt a more commercial approach to Council business. We will find and articulate the right balance between our public sector ethos and commercial practices.

As a large local authority we have been able to protect services to a greater extent than many other local authorities in Wales. However, we are on the cusp of a new era for the County Borough and our operating practices must alter so that we can deliver what is needed for our residents and, particularly, our future generations.

The Council must be more commercial and will seek opportunities to generate additional income, and explore investment opportunities



to achieve returns that can help secure future service delivery. We are not considering the largescale outsourcing of services, but will instead focus on a more business-like approach to take advantage of commercial opportunities for the services that we provide.

We will develop a new Commercial and Investment Strategy to create new economic and social networks to recycle economic benefit back to delivering quality services to our communities i.e. Profit for Purpose. This will require new thinking and may be the most challenging aspect of our transformation strategy.

Adopting an entrepreneurial approach will require different skills and attitudes, and we must change our culture to increase our resilience. To facilitate this we will foster and embed an innovative and commercial culture, through a commercial development programme across the Council.

We will also seek nominations for a Cabinet Member to be the Council’s Commercial Champion and establish a Commercial Panel that will consider commercial opportunities.

This new thinking will take us beyond income generation into the marketing of our services. The Council, and the professionalism of our staff, are a trusted brand that we will explore as part of the **#TeamCaerphilly** transformation programme. As part of this process we will look at potential trading vehicles that will provide the appropriate platform for us to trade with other public sector organisations and beyond.

Our commercial approach will also involve a review of our current Treasury Management Strategy. This will focus on exploring prudent investment opportunities beyond our traditional approaches, to improve returns that can then be reinvested in services to help them remain resilient.

KEY ACTIONS	TIMESCALE
Nominate a Cabinet Member as the Council’s Commercial Champion	12th June 2019
Commercial and Investment Strategy to be drafted and approved by Cabinet	Cabinet approval by 31st October 2019
Establish a Commercial Panel	30th November 2019
Undertake a review of the Council’s portfolio of investments	31st December 2019
Explore potential trading vehicles that would allow us to trade with other public sector organisations and beyond	31st March 2020

# 10 ENGAGING AND WORKING WITH OUR COMMUNITIES

Our **#TeamCaerphilly** transformation programme is about reshaping the Council for the future. We must do things differently to protect the services that are required and valued.

We must also acknowledge that the organisation will undoubtedly be smaller and will deliver fewer services, and may deliver its remaining services in a different way.

We want to do this in a considered way, which understands need, considers our communities, plans for what we must deliver, and supports our staff in helping us to do this.

Effective communication and engagement is fundamental to the transformation agenda, and we will achieve this with our communities through the *Caerphilly Conversation*.

We must be open and honest with our communities in order to manage expectations; we want our communities to play a key part in this transformation journey and we want to do this with the support of our residents.

It is important that our communities understand and support the path we have taken; they too will be concerned about services for future generations. We are confident that we have a common understanding that we must look to the future, while upholding our social principles, in order to protect and future-proof our services.

We have already committed to the National Principles for Public Engagement in Wales, and we would like to extend the level of community involvement in our shared aims. We will use the best practice of the International Association of Public Participation to Inform, Consult, Involve, Collaborate and Empower our communities. We will develop a Consultation and Engagement Framework to support this.

We currently deliver a wide range of discretionary services which our communities have become accustomed to. If we are going to continue to deliver some of these discretionary services in the future (i.e. the things that we don't legally have to do), we will need the help of communities and the voluntary sector to support us in delivering them.

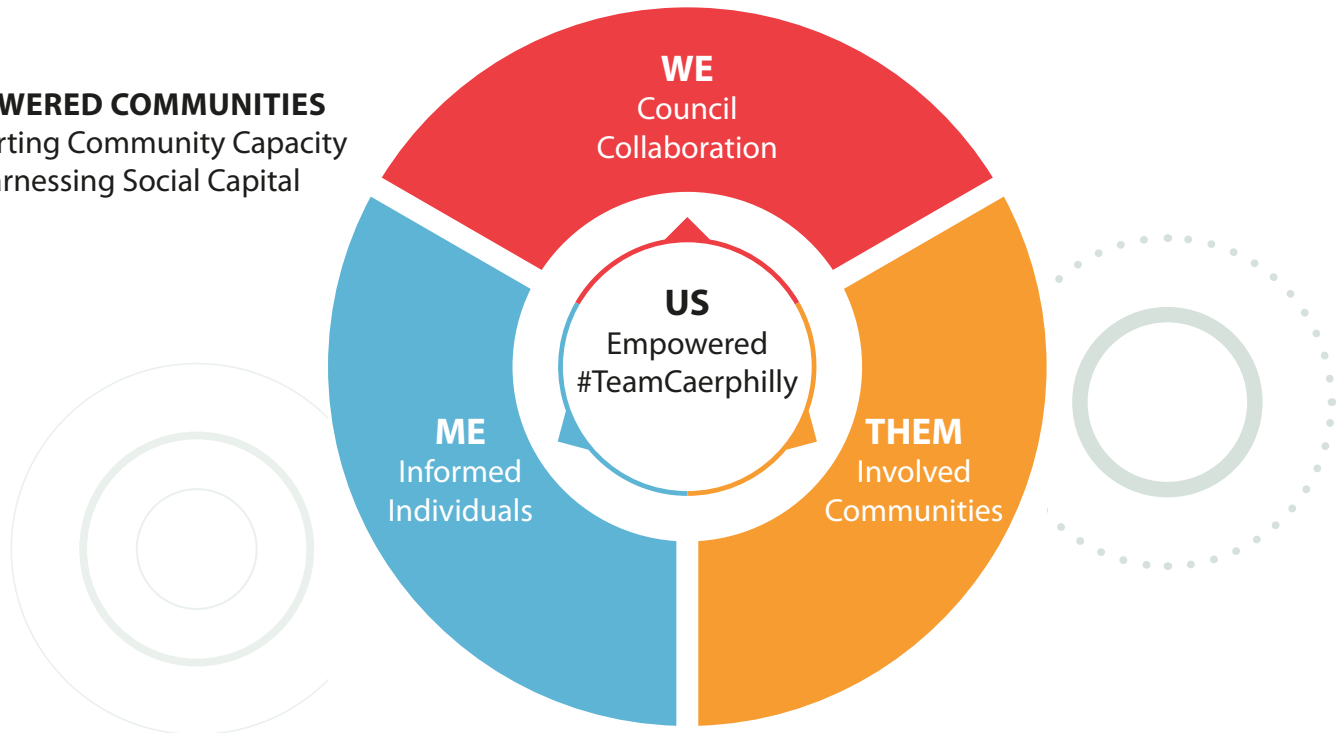
The role of empowered, resilient communities in this transformation journey cannot be underestimated. Whilst these are difficult times, it is also an opportunity to embrace change and develop new ways of delivering Council services, with the support of our communities for the benefit of all.

The South Wales area has a unique sense of community that is not present in many other parts of the UK. It is our social capital; we look out for each other. The **#TeamCaerphilly** ethos must be such that, regardless of who we are - Councillors, staff, residents, the business community, partners, young people etc. - we all have a part to play in doing our bit for the good of our area.

We will work with our communities to encourage them to continue the good practices they already have i.e. practices such as recycling more, not dropping litter, volunteering in their local area, supporting grassroots sport, taking part in environmental clean ups etc. We can all do our bit for Caerphilly County Borough, empowered communities are vital in transforming the County Borough.



**EMPOWERED COMMUNITIES**  
Supporting Community Capacity  
and Harnessing Social Capital



To support this, our transformation strategy will include the principle of encouraging our staff to volunteer to work in the community. Corporate Volunteering is common in the private sector and increasingly so in the public sector. Our staff are passionate public servants, most of who live in the County Borough, who have grown up here, and have families here. They care about the area as much as others in our community. We want to explore the potential to release some of our staff capital

into our communities.

We will also look at the assets we hold and where there is a strong case to do so, we will consider releasing assets for social and community purposes. We will develop a Community Asset Transfer Policy that will be an important part of this new approach, by equipping and empowering our communities to take direct ownership of service delivery where appropriate.

KEY ACTIONS	TIMESCALE
Corporate Volunteering Policy to be developed and initially piloted in one service area	31st December 2019
Community Asset Transfer Policy to be finalised and approved by Cabinet	31st December 2019
Develop a Consultation and Engagement Framework to support empowered communities to come on this journey with us	31st December 2019

# 11

## ACTIVELY SEEKING OPPORTUNITIES FOR COLLABORATION

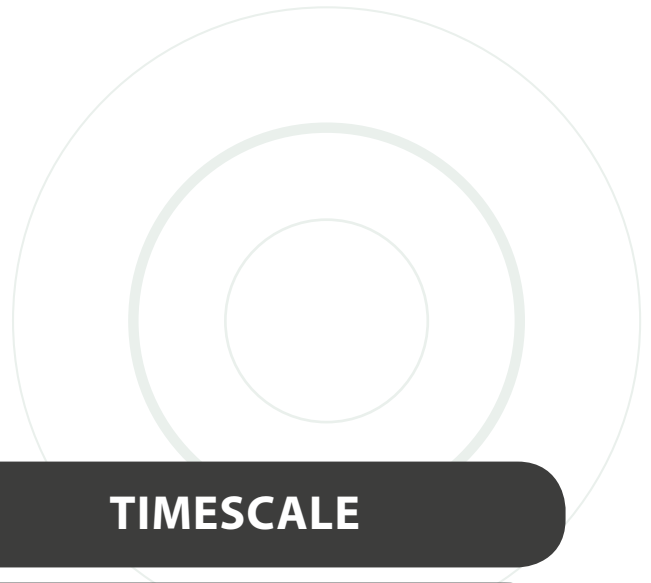
As part of the transformation programme we will build on existing collaborative frameworks. We will also explore the potential for new collaborative opportunities with other public sector bodies, where there are tangible benefits for our communities and/or the opportunity to reduce costs.

There will be particular emphasis on new opportunities that will help services remain resilient and where there are sound business cases to support proposals to collaborate.

Our approach will be twofold. There may be instances where there is a strong case to collaborate where others will lead; but we will also take well managed risks and seek out opportunities where we feel the council should be the Partner of Choice.

We will also consider how we can share assets with our public sector partners to maximise efficiencies and to explore the development of Community Hubs, which would provide one-stop shops where services from a range of partners can be provided from single locations.

The Council is currently working with the Aneurin Bevan University Local Health Board and Heddli Gwent Police to develop proposals for Community Hubs across the County Borough.



### KEY ACTIONS

### TIMESCALE

Explore potential new collaborative opportunities where the Council can be the Partner of Choice

30th November 2019

Report to be prepared outlining proposals for the development of Community Hubs across the County Borough

31st December 2019



# 12 RESOURCES AND CAPACITY

The scale of the financial challenge facing the Council has already been clearly set out in this Strategy. To meet this challenge the Cabinet has agreed a set of revised *Medium-Term Financial Plan (MTFP) Savings Principles*, which are as follows: -

- We will seek to protect services for the most vulnerable whilst continuing to evaluate all other services.
- We will limit the impact of cuts on front-line services where we can whilst continuing to reduce expenditure and explore opportunities to generate new sources of income.
- We will adopt a longer-term approach to financial planning that considers the impact on future generations.
- We will need to accept that we will not be able to maintain existing levels of service but will introduce more innovative ways of working through the use of emerging technologies.
- We will engage with our communities to understand their needs and explore options to deliver some services through collaboration, partnerships, community trusts etc. to ensure that communities remain resilient and sustainable in the longer-term.

The **#TeamCaerphilly - Better Together** Transformation Strategy aligns with these principles, and developing new ways of working will be a key element in ensuring that the Council remains financially resilient moving forward.

As the various elements of the Strategy are further developed there will be a need for one-off investments to pump-prime the service changes required. Investments will need to be supported by robust business cases

clearly demonstrating how the funding will lead to service efficiencies and savings.

There will also be a need to ensure that we have sufficient capacity within the Council to drive forward the ambitious transformation programme to a successful delivery. We will harness the range of skills and experience within our workforce and create opportunities for staff to lead and be involved in various workstreams that will ensure successful delivery of the programme.

The Council's Corporate Policy Unit will be the central point of co-ordination and administration of the transformation programme. Furthermore, the Performance Management Unit has worked with Directorate Management Teams in recent months to introduce a new approach to service planning and performance management. This has resulted in the introduction of new Directorate Performance Assessments, which are designed to provide a 'single source of the truth' and will give insight into the how each Directorate is performing, as well as highlighting any actions that are being taken to drive improvement.

The Corporate Policy Unit will also have a key role to play in terms of researching innovative best practice and sharing this across the Council.

Whilst we will maximise the use of existing staff, there will be a requirement to establish some additional capacity to help drive forward our new approach at pace. It is therefore proposed to appoint three Transformation Managers initially on fixed-term contracts for a period of two years. The individual portfolios for these managers will be:-

- Innovation
- Commercial Investment
- Workforce planning

As we move forward there may be a need for further staffing capacity as the various elements of the new operating model are further developed. However, it is anticipated that this will be on an 'invest to save' basis as

new ways of working will deliver sustainable savings year-on-year.

## KEY ACTIONS

## TIMESCALE

Cabinet approval to be sought to appoint three Transformation Managers initially on fixed-term contracts for a period of two years

Cabinet approval on 12th June 2019

Embed the new Direct Performance Assessments across the Council

Quarterly reporting from June 2019 onwards



# 13 ENSURING THAT WE HAVE A WORKFORCE THAT IS FIT FOR THE FUTURE

Our staff are our most important resource. We have a committed and dedicated workforce that provides excellent services to our communities on a daily basis.

Local government can be a challenging environment in which to work, but the satisfaction of providing good quality local services is rewarding. Our staff are the backbone on which we are able to deliver to a consistent high quality. In return for the commitment of our staff the authority is committed to their development and support.

We expect certain behaviours of our staff, and in return they expect to work in an environment that nurtures their development and provides them with the support they need to do their jobs more effectively, and that recognises the contribution they make.

We have excellent work life balance policies, including a generous flexible working scheme. We have recently adopted a set of agile working principles which will not only be of value to staff, but will also provide the potential to rationalise buildings through new ways of working.

The emerging transformation programme will mean that we will need to change the ways in which we support staff to deliver services. The relationship between staff and their managers will need to be supportive and based on a continuous conversation. Staff will need to be equipped with the right skills to underpin the new ways of working and in some cases staff will need to be retrained to undertake different roles in the Council.

We will review our Staff Appraisal Process and introduce a new Workforce Development Strategy: Better Together, a key component of which will be a robust training and development programme, including leadership and management development, to ensure that we have the right mix of skills and abilities to meet the needs of the Council in the future.

## KEY ACTIONS

## TIMESCALE

Performance Development Review process to be reviewed

30th September 2019

Workforce Development Strategy: Better Together to be finalised and approved by Cabinet

31st January 2020

# 14 PROGRAMME MANAGEMENT ARRANGEMENTS

Effective programme management arrangements will be an essential requirement to ensure successful delivery of the Transformation Strategy. The key elements will be the following: -

## **Programme Sponsor (Chief Executive)**

To be accountable for the programme, lead the business change and provide top level endorsement of the rationale and objectives of the programme.

## **Sponsoring Group (Leadership Team)**

To provide senior level commitment and support for the programme, as well as championing implementation within their respective service areas.

## **Senior Responsible Officer (Head of Business Improvement Services)**

To take day-to-day responsibility for overseeing the implementation of the programme, and ensuring appropriate governance and reporting arrangements are established to monitor the delivery of key actions.

## **Project Board (Corporate Management Team)**

To provide strategic oversight for the programme and support the Senior Responsible Officer in driving and monitoring overall implementation.

The Terms of Reference for the Project Board will be formally signed-off by the Board at its inaugural meeting in July 2019.

## **Programme Co-ordination/Administration**

The Corporate Policy Unit will be the central point of co-ordination and administration for the transformation programme.

Progress against the **#TeamCaerphilly Strategic Action Plan** will be reviewed on a quarterly basis by the Corporate Management Team, in its capacity as the **#TeamCaerphilly Project Board**.

Six-monthly progress reports will also be presented to Cabinet, and the Policy and Resources Scrutiny Committee will receive an annual progress report.

The strategic actions of the transformation programme will also be incorporated into Directorate Performance Assessments, to ensure that there is detailed review and monitoring at Directorate level, with any emerging issues being escalated to the Project Board.



### **KEY ACTIONS**

Terms of Reference for the Project Board to be agreed and formally signed-off

### **TIMESCALE**

July 2019

# 15 THE #TEAMCAERPHILLY STRATEGIC ACTION PLAN

Some of this Transformation Strategy is already in progress.

The **#TeamCaerphilly Strategic Action Plan** attached as Appendix 1 will help us manage the transformation journey, and will allow us to demonstrate our progress.

As the initial high-level strategic actions are brought to fruition, a range of further specific actions, key milestones and measures will emerge. The overarching Strategic Action Plan will be regularly updated to reflect these changes.

We will encourage feedback on the Action Plan and any constructive ideas and suggestions to help us achieve the scale and pace of change that is required.



## KEY ACTIONS

## TIMESCALE

Progress reports on the Strategic Action Plan to be presented to: -

- the Project Board on a quarterly basis;
- Cabinet on a six-monthly basis; and
- the Policy & Resources Scrutiny Committee on an annual basis

Timescales as shown in 'Key Actions'

Key actions in the Strategic Action Plan to be incorporated into Directorate Performance Assessments

Quarterly



# 16 HOW TO FIND OUT MORE

Visit the Caerphilly County Borough Council website [www.caerphilly.gov.uk](http://www.caerphilly.gov.uk)

For more information on this Strategy, please contact us on **01443 811365**, or e-mail us [policyteam@caerphilly.gov.uk](mailto:policyteam@caerphilly.gov.uk)



# THE #TEAMCAERPHILLY STRATEGIC ACTION PLAN

No.	ACTION	POLITICAL/OFFICER LEADS		TIMESCALE
<b>CREATING THE RIGHT ORGANISATIONAL CULTURE (SECTION 5): -</b>				
1.	Culture Book to be finalised, approved and formally launched with staff	Leader	Chief Executive	30th November 2019
<b>ENCOURAGING AND SUPPORTING INNOVATION (SECTION 6): -</b>				
2.	Licence to Innovate initiative to be launched	Leader	Chief Executive	During Staff Roadshows (Autumn 2019)
3.	Striving for Excellence staff recognition scheme to be launched	Leader	Chief Executive	During Staff Roadshows (Autumn 2019)
<b>EMBRACING NEW TECHNOLOGIES – “DIGITAL FIRST” (SECTION 7): -</b>				
4.	Customer and Digital Strategy to be approved by Cabinet.	Cabinet Member for Corporate Services	Head of Customer and Digital Services	12th June 2019
5.	Progress against key actions in the Customer and Digital Strategy to be regularly reported to and monitored by the Digital Leadership Group	Cabinet Member for Corporate Services	Head of Customer and Digital Services	Frequency to be agreed
<b>ESTABLISHING A STRUCTURED PROGRAMME OF SERVICE REVIEWS (SECTION 8): -</b>				
6.	Service Review pilots in Catering and Building Cleaning to be completed	Cabinet Member for Environment and Public Protection	Head of Business Improvement Services	31st July 2019
7.	Service Directory to be completed	Leader	Chief Executive	30th September 2019

No.	ACTION	POLITICAL/OFFICER LEADS		TIMESCALE
8.	Consistent methodology for Service Reviews to be adopted	Cabinet Member for Finance, Performance & Governance	Head of Business Improvement Services	30th September 2019
9.	Structured programme of Service Reviews to be agreed	Cabinet	Head of Business Improvement Services	Cabinet approval by 31st October 2019
<b>ADOPTING A MORE COMMERCIAL APPROACH (SECTION 9): -</b>				
10.	Nominate a Cabinet Member as the Council's "Commercial Champion"	Cabinet	Head of Business Improvement Services	12th June 2019
11.	Commercial and Investment Strategy to be drafted and approved by Cabinet	Leader	Chief Executive	Cabinet approval by 31st October 2019
12.	Establish a Commercial Panel	Cabinet	Head of Business Improvement Services	30th November 2019
13.	Undertake a review of the Council's portfolio of investments	Leader and Cabinet Member for Finance, Performance & Governance	Chief Executive and Section 151 Officer	31st December 2019
14.	Explore potential trading vehicles that would allow us to trade with other public sector organisations and beyond	Leader and Cabinet Member for Finance, Performance & Governance	Chief Executive, Section 151 Officer and Head of Legal Services	31st March 2020
<b>ENGAGING AND WORKING WITH OUR COMMUNITIES (SECTION 10): -</b>				
15.	Corporate Volunteering Policy to be developed and initially piloted in one service area	Cabinet Member for Social Care and Wellbeing	Head of Business Improvement Services	31st December 2019
16.	Community Asset Transfer Policy to be finalised and approved by Cabinet	Cabinet Member for Homes and Places	Head of Business Improvement Services	31st December 2019

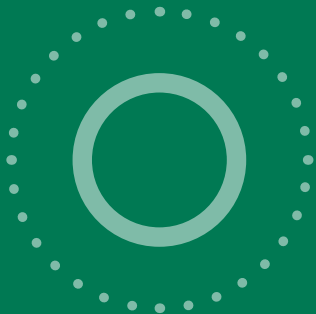
No.	ACTION	POLITICAL/OFFICER LEADS		TIMESCALE
17.	Develop a Consultation and Engagement Framework to support empowered communities to come on this journey with us	Leader and Cabinet Member for Finance, Performance & Governance	Chief Executive	31st December 2019
<b>ACTIVELY SEEKING OPPORTUNITIES FOR COLLABORATION (SECTION 11): -</b>				
18.	Explore potential new collaborative opportunities where the Council can be the Partner of Choice	Cabinet	Leadership Team	30th November 2019
19.	Report to be prepared outlining proposals for the development of Community Hubs across the County Borough	Cabinet Member for Social Care and Wellbeing	Corporate Director for Social Services and Housing	31st December 2019
<b>RESOURCES AND CAPACITY (SECTION 12): -</b>				
20.	Cabinet approval to be sought to appoint three Transformation Managers initially on fixed-term contracts for a period of two years	Cabinet	Head of Business Improvement Services	Cabinet approval on 12th June 2019
21.	Embed the new Direct Performance Assessments across the Council	Cabinet Member for Finance, Performance & Governance	Head of Business Improvement Services	Quarterly reporting from June 2019 onwards
<b>ENSURING THAT WE HAVE A WORKFORCE THAT IS FIT FOR THE FUTURE (SECTION 13): -</b>				
22.	Performance Development Review process to be reviewed	Cabinet Member for Corporate Services	Head of People Services	30th September 2019
23.	Workforce Development Strategy: Better Together to be finalised and approved by Cabinet	Cabinet Member for Corporate Services	Head of People Services	31st January 2020
No.	ACTION	POLITICAL/OFFICER LEADS		TIMESCALE

**PROGRAMME MANAGEMENT ARRANGEMENTS (SECTION 14): -**

24.	Terms of Reference for the Project Board to be agreed and formally signed-off	Leader	Project Board	July 2019
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**THE #TEAMCAERPHILLY STRATEGIC ACTION PLAN (SECTION 15): -**

25.	Progress reports on the Strategic Action Plan to be presented to: - <ul style="list-style-type: none"> <li>• The Project Board on a quarterly basis</li> <li>• Cabinet on a six monthly basis</li> <li>• Policy &amp; Resources Scrutiny Committee on an annual basis</li> </ul>	Cabinet Member for Finance, Performance & Governance	Head of Business Improvement Services	Timescales as shown in 'Action'
26.	Key actions in the Strategic Action Plan to be incorporated into Directorate Performance Assessments	Cabinet Member for Finance, Performance & Governance	Head of Business Improvement Services	Quarterly







## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019**

**SUBJECT: CUSTOMER AND DIGITAL STRATEGY AND STRATEGIC ACTION PLAN**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES**

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### **1. PURPOSE OF REPORT**

- 1.1 To present to Members of the Scrutiny Committee the draft Customer & Digital Strategy and associated Strategic Action Plan for Caerphilly CBC.
- 1.2 To seek the views from the Committee's Members on the draft Customer & Digital Strategy and associated Strategic Action Plan prior to submitting and presenting the information to Cabinet for endorsement.

### **2. SUMMARY**

- 2.1 The Council's Customer & Digital Strategy ('the Strategy') is attached at Appendix 1 and the associated Strategic Action Plan ('the Action Plan') is attached at Appendix 2.
- 2.2 The Strategy sets out a proposed vision "Investing in our Future by Opening the Digital Front Door".
- 2.3 The Strategy includes a number of guiding principles and a narrative for #DigitalCaerphilly.
  - Caerphilly will connect with its Customers and staff via the "Digital Front Door"
  - Provide help and support to business by driving innovative solutions.
  - Embrace the wider Welsh agenda by adhering to digital principles and development of digital service standards.
  - Connect internally with a digital culture which will promote and support the use of modern day technology.
- 2.4 The Action Plan attached to the Strategy sets out a forward work plan and activities to deliver on the Key Objectives of the Strategy.
- 2.5 The Strategy sets the scene for future direction of travel for the service and the Council.

### **3. RECOMMENDATIONS**

- 3.1 Members of the Scrutiny Committee are asked to consider and comment on the content of the Strategy and the Action Plan prior to submitting and presenting the information before its onward submission to Cabinet for endorsement.

#### **4. REASONS FOR THE RECOMMENDATIONS**

- 4.1 To ensure that the views of the Scrutiny Committee Members are considered prior to the Strategy being submitted and presented to Cabinet.

#### **5. THE REPORT**

- 5.1 The appended Strategy has been under development since October 2018. Staff and key Officers have been instrumental in its development.
- 5.2 The proposed vision within the Strategy is described as follows: “Investing in our Future by Opening the Digital Front Door”.
- 5.3 A set of strategic themes and guiding principles have been developed with the aim of transforming the Council and the way it delivers services to internal and external Customers.
- 5.4 The Strategy is an ambitious transformation programme, which will require senior executive leadership and scrutiny to remain engaged. It is proposed to introduce a Digital Leadership Group to oversee the implementation of the Strategy and the deployment of appropriate technology and systems within the Council. The Corporate Director for Education & Corporate Services will chair the group in order to challenge the Councils approach to digital.
- 5.5 In recognising the importance of Digital transformation, we also recognise the need to maintain an inclusive approach to customer interaction and provide equal access to all citizens. We will ensure that where we have digital services there will be face to face provision available should the customer wish to use it.
- 5.6 Members of the Digital Leadership Group are yet to be confirmed, however, it is envisaged that the Cabinet Member for Corporate Services will sit on the group along with the Head of Customer and Digital Services. Other representatives will be requested once the terms of reference are defined in draft.
- 5.7 #DigitalCaerphilly, sets out how we will embrace modern technology which is the approach that the Council intends to take in everything it will do to improve outcomes and customer service delivery.
- 5.8 The Strategy has 6 strategic themes which supports the Council’s Wellbeing objectives and the wider Welsh agenda.
- Public Service by design
  - Leadership
  - Service Standards
  - Staffing, skills and development
  - Spend control
  - Timetable for change.
- 5.9 As a key Strategy for the Council there is a need for a flexible approach, therefore the Strategy and Action Plan will ensure we keep abreast of the evolving world of “digital” with our “how to find out more” page being continuously updated. It is envisaged that the primary source for the Strategy will be electronic, however, paper copies can be made available upon request.

#### **Conclusion**

- 5.10 The Strategy and Action Plan sets out the Council’s plans for the delivery of its Customer and Digital Services. It is a bold and ambitious Strategy that puts the Customer at the heart of everything we do. It will provide the basis for embracing new technologies and innovation as we deliver citizen centric services.



- 5.11 With such a bold and ambitious Strategy the future delivery model for Customer & Digital Services must be established.
- 5.12 Over recent years the Council has explored a range of opportunities for developing and enhancing its ICT and Digital provision. Some of these have been through internal changes and some have been through collaborations with other local authorities.
- 5.13 As the Council begins the next phase of its transformational journey, it is considered vitally important that the ability to direct its own resources to the successful delivery of this Strategy is retained by the Council.
- 5.14 This by no means closes the door on future collaborations of ICT and digital provisions, but it does allow the Council to focus on the tasks in hand at a key time in the Council's transformation journey. Opportunities to collaborate will continue to be explored, indeed, opportunities may ultimately arise from aspects of the Strategy itself.
- 5.15 It is worth highlighting the fact that Customer and Digital Services contributed almost £420k to the Council's savings requirement for the 2018/19 financial year with a further £451k of savings also identified and approved for 2019/20.
- 5.16 While the service looks to achieve further savings over coming years, it should also be noted that the tools and structures are now very much in place to enable other Council functions to reduce expenditure and improve both productivity and the customer experience.

## **6. ASSUMPTIONS**

- 6.1 All details within the report, strategy document and action plan are reflective of issues and technology as of May 2019. All financial information is reflective of costs in 2018/19. These may increase or decrease through the duration of the strategy. Any fluctuations in costs associated with the implementation of the strategy which is outside pre-established budget will be subject to the necessary approval process in line with the Authority's governance policy.

## **7. LINKS TO RELEVANT COUNCIL POLICIES**

- 7.1 The Strategy is aligned to the Councils Corporate plan and 6 well-being objectives by providing a gateway to Council services and supporting citizen centric services. The Strategy will encourage and support communities to interact and use online solutions to deliver the services they require.

## **8. WELL-BEING OF FUTURE GENERATIONS**

- 8.1 The Strategy is aligned to the Wellbeing of future Generations (Wales) Act 2015 as it sets out to improve the social, economic, environmental and cultural wellbeing of the people of Wales. The adoption of the Strategy will provide a long term joined up approach to the delivery of public services.
- 8.2 The Wellbeing and Future Generations Act calls for a massive step change in how organisations such as ourselves plan and deliver public services. Digital transformation will also require a different mind-set. Our Strategy is focused on "user need" and improved service delivery therefore providing opportunities for a prosperous and resilient Wales. Providing an equal opportunities to Council services which are safe and well connected.

## **9. EQUALITIES IMPLICATIONS**

### 9.1 The Strategy supports:

Strategic Equality Objective 4-Improving Communication Access  
Strategic Equality Objective 5- Inclusive Engagement and Participation  
Strategic Equality Objective 6- Compliance with the Welsh Language Standards

### 9.2 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. There are no identified negative impacts on the target equality groups. The completed EIA is attached at Appendix 3.

## **10. FINANCIAL IMPLICATIONS**

### 10.1 During the 2018/19 financial year Cabinet has already approved the setting aside of £600k to fund some of the key initial investments to support the Strategy. However, it is anticipated that further investments will be required moving forward and these will be subject to further Cabinet reports as matters progress.

## **11. PERSONNEL IMPLICATIONS**

### 11.1 Currently there are no personnel implications to the adoption of the Strategy. Any changes that emerge beyond its adoption will be reported as required in line with corporate policies.

## **12. CONSULTATIONS**

### 12.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

## **13. STATUTORY POWER**

### 13.1 The Local Government Acts 1998 and 2003.

Author: Elizabeth Lucas, Head of Customer & Digital Services, [lucasej@caerphilly.gov.uk](mailto:lucasej@caerphilly.gov.uk)  
Consultees: Cllr, Colin Gordon, Cabinet Member for Corporate Services  
Cabinet Members  
Christina Harray, Interim Chief Executive  
Corporate Management Team (CMT)  
All Heads of Service.  
Customer & Digital Services – Management team  
Councillor James Pritchard – Chair of P&R Scrutiny  
Councillor Gez Kirby – Vice Chair of P&R Scrutiny

#### Appendices:

Appendix 1 Customer and Digital Services Strategy ('the Strategy')  
Appendix 2 Draft Customer and Digital Services Strategy Action Plan ('the Action Plan')  
Appendix 3 Completed EIA

# Caerphilly County Borough Council

# CUSTOMER AND DIGITAL STRATEGY

## Investing in our Digital Future

Connecting technology and knowledge to deliver excellent customer experience and opportunities through digital transformation.

# 2019-2023



# CONTENTS

	Page
1 FOREWORD	
Cllr Colin Gordon, Cabinet Member for Corporate Services	2
.....	
2 INTRODUCTION	3
.....	
3 CAERPHILLY CUSTOMERS AT THE HEART OF OUR BUSINESS	4
.....	
4 OUR VISION	5
.....	
5 OUR LEADERSHIP	6
.....	
6 DIGITAL CAERPHILLY	7
.....	
7 OUR STRATEGIC PRINCIPLES	9
.....	
8 HOW TO FIND OUT MORE	11



# 1 FOREWORD

**As the council's Cabinet Member for Corporate Services, I'm delighted to be associated with this bold and ambitious strategy that will help transform the way we deliver digital services in the future.**

Caerphilly council wants to be an innovative, forward looking local authority and we are committed to modernising our approach to service delivery, therefore our customer experience is of vital importance.

We also recognise that we need to take an inclusive approach to ensure that we provide equal access to our services for all sections of the community. Developing our digital offering to create a positive customer experience must be tempered with options of alternative service options for those who are not able or are yet to develop the ability to transact and communicate in a digital way.

Our digital transformation must start with a step change in our understanding and appreciation of the customer experience. Our customer is at the heart of everything that we do and we will be brave in embracing new technologies and innovation to deliver citizen centric services.

We will also embrace an agile, iterative approach to our work. Embracing digital as a core culture for the whole organisation, rather than just technology.



We will be bold in our approach, we will explore innovation and, if necessary, we will learn from our mistakes to ensure continuous improvement in delivering Digital Services that work for everyone within our communities.

**Cllr Colin Gordon**  
*Cabinet Member for Corporate Services*

# 2 INTRODUCTION

**In adopting this strategy the Council will set out its vision for developing and managing its interface with customers and its digital environment.**

The Council will embrace digital as a culture rather than just technology. We will adopt a learning ethos which will allow us to be open and learn from our mistakes, challenging the status quo to bring about real value public services to our customers.

It is our aim to keep pace with the growing expectations from the Customer for sustainable, effective Public Services.

Caerphilly will become a Digital Organisation, with clear Leadership that will cultivate a “can do” attitude to support all of our stakeholders.

Digital in Caerphilly will be seen as a whole system approach which is stakeholder led so that we improve the customer experience and outcome of public services.

This strategy will evolve so that it continues to support national strategies and legislation such as:

1. Digital Vision for Wales
2. The Wales Digital First
3. The Digital Action Plan
4. The Future Generations Act
5. Cymraeg 2050 strategy



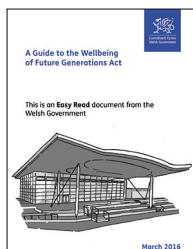
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It will reflect on the System Reboot report from Lee Waters AM to ensure that the Council is at the forefront of Digital Transformation in Wales. Our Customer and Digital Strategy needs to be a living programme, flexible, adaptable and alive to the changing environment; modular in nature so that it is easy to review and update annually in line with developments in the Digital landscape. Our approach will be continuous improvement to bring about real change and to improve the lives of those who live and work within our borough. Where appropriate our interactions with our customers and wider stakeholders will be Digital by default.

The Council is committed to ensuring it achieves value for money from its Customer and Digital services. It also recognises the value of using Digital tools to support its wider Cultural, Social, Economic and Environmental objectives, in ways that offer real long-term benefits to the community it serves.

The Strategy will build on the Council’s success to meet the overarching Well-being objectives, our customer charter and our service standards.

- <https://gov.wales/docs/det/publications/111116dwexecutivesummaryen.pdf>
- <https://gov.wales/docs/det/publications/150421-digital-first-en.pdf>
- <https://gov.wales/docs/det/publications/171020-digital-action-plan-17-20-en.pdf>
- <https://gov.wales/docs/dsjlg/publications/160401-wfg-easy-read-en.pdf>
- <https://gov.wales/docs/dcells/publications/170711-welsh-language-strategy-eng.pdf>

# 3 CAERPHELLY CUSTOMERS AT THE HEART OF OUR BUSINESS



**90%** of jobs nationally require digital skills to some degree.



**16k** followers of the Council's Twitter account.



**73%** percentage of Welsh internet users who bought things online in the last 4 weeks.

**26%** of Welsh children use electronic devices for at least 2 hours on a weekday.



Overall take up of digital online public services in Wales could be as low as **18%**



**73%** of people accessing the CCBC website are using a mobile or tablet device.

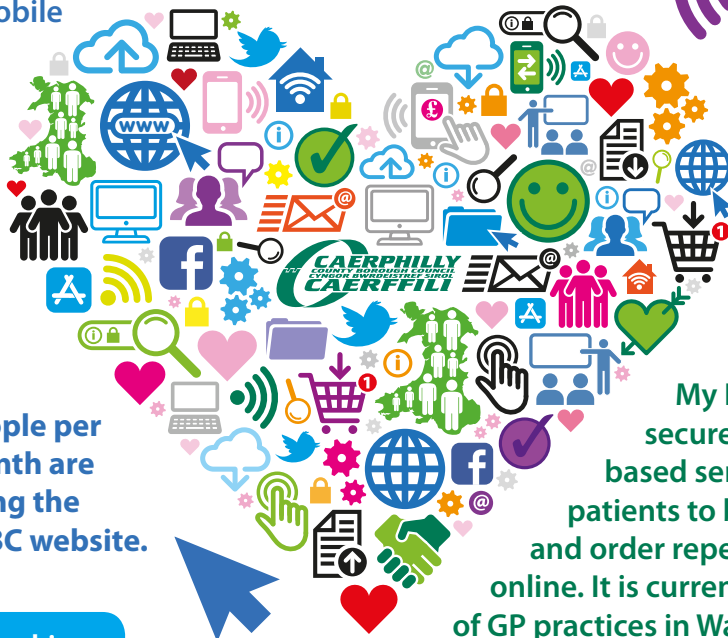
**20k** followers of the Council's Facebook page.



**110+**



**Citizen Digital Exclusion level for CCBC - 9.** Scale of 1-9 where 9 is highest likelihood of exclusion.



**110+** services which can be transacted online within the Caerphilly county borough.



**100k+** people per month are using the CCBC website.

My Health Online is a secure NHS Wales web-based service which enables patients to book appointments and order repeat prescriptions online. It is currently installed in **89%** of GP practices in Wales.

**79%** of the working age population who use the internet and are in employment visited public service websites, compared with **71%** of working age people who were economically inactive and **67%** who were unemployed.



**6.5k** Caerphilly Schools use 6.5k tablets and 12k computers.



**85%** of households in Wales access the internet. This has grown by **8%** in 7 years.



**22%** percentage of CCBC residents who pay their council tax manually with cash.



**2,161**

**2,161** WIFI access points across Caerphilly county borough.

During a year the CCBC website has **189k** views of job adverts **34k** council tax payments **37k** planning application views **30k** bin collection day views.

# 4 OUR VISION

Investing in  
our future by  
opening the  
digital front door.





# 5 OUR LEADERSHIP

## Leader



Cllr Dave Poole

## Chief Executive



Christina HARRY

## Cabinet



Cllr Sean Morgan



Cllr Barbara Jones



Cllr Colin Gordon



Cllr Eluned Stenner



Cllr Nigel George



Cllr Lisa Phipps



Cllr Carl Cuss



Cllr Philippa Marsden

## Corporate Management Team



Richard Edmunds



Dave Street



Mark S Williams

## Head of Customer & Digital Services



Liz Lucas

## Customer & Digital Management Team



Ian Evans



Ruth Betty



Gwyn Williams

**Customer and Digital Services within Caerphilly County Borough Council will have a Senior Executive Leadership. The Corporate Director for Education & Corporate Services will chair a Digital Leadership Group formed from the Council's leadership Team.**

The Director for Education and Corporate Services will represent the Customer and Digital Services Management Team.

The Head of Customer and Digital Services will head the service and lead the transformation agenda.

The Council will embrace Collaboration when there is a compelling reason to do so.

We will strive to be the "best connected" Welsh Authority, delivering high-level customer services, technology driven educational opportunities and enabling internal council services.

Technology will be embraced to support and change links and strengthen our communities, which includes business.

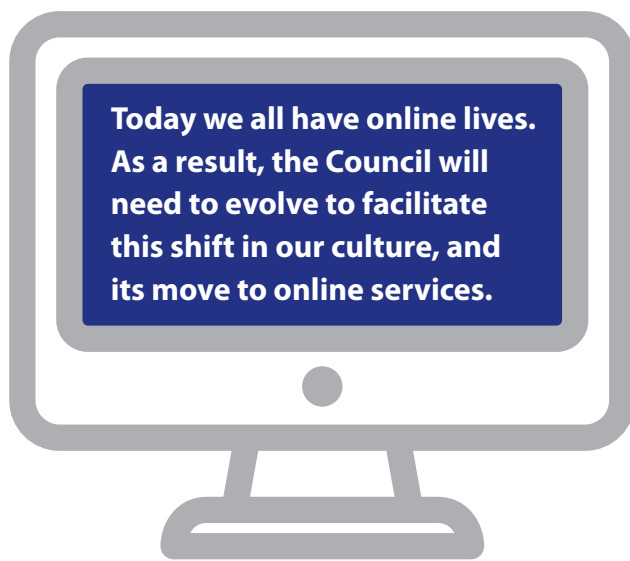
# 6 DIGITAL CAERPHILLY



It has been reported that Wales is riding high on a Digital Wave.

Caerphilly will become connected to:

- The Citizen through the Digital front door
- Business by driving innovative solutions
- Public Bodies by adherence to Digital Principles and Service Standards
- Internally connected via a digital culture which promote the use of technology



The Council will increase the opportunities for communities to interact and use online solutions to deliver and develop local services.

### Using technology innovation to support vulnerable people more effectively.

Identifying and using data to improve all our services, have the ability to predict the services for the future, and use our data effectively to solve problems.



**Protecting our data, information and services by the development of excellence in Cyber Security and Information management.**



### To enable the transformation of how people work productively and drive efficiency savings internally.

Put the citizens of Caerphilly at the heart of our business. Ensure that our digital solutions do not exclude sections of our communities through our approach.



### The Council will use our digital solutions to enable, enhance and connect - offering greater opportunities to the citizens of Caerphilly and Wales as a whole.

The Council will invest in its digital infrastructure, solutions and skills to enable this strategy.



# Investing in our digital future

# 7 OUR STRATEGIC PRINCIPLES

## STRATEGIC THEME

## PRINCIPLES

### PUBLIC SERVICE DESIGN

The Customer experience will come first in all that we aspire to do. It will be our aspiration to deliver an exceptional experience to all our customers through a range of different channels. Our customers and staff will be at the heart of our business. The approach to service will be Welcoming, providing a courteous, positive and lasting impact. Passionate in our aim to change our service for the better. Dependable by building long term relationships based on trust and transparency. We will strive to do the right thing and be fair in our approach. We will remain in touch being interactive and diverse in our communications. Our policies and systems will be citizen centric.

- Customers are to be at the heart of our business
- Our policies and systems will be citizen centric
- Adopt a user first approach to delivery



### LEADERSHIP

We will become a Digital Organisation through strong leadership. Our Culture will be shaped to embrace digital as the way of doing things not just about technology. We will adapt a multi discipline teams approach so that we see digital as a whole system issue. We will challenge our supply chains to bring innovation and value for money. We will protect our citizens privacy and security.

- Appoint a digital leader for Caerphilly County Borough Council
- Agree Customer and Digital Standard monitor process
- Develop Digital Leadership Group
- Lead a culture of Digital by default
- Promote the Customer and Digital strategy and adopt the correct level of security and privacy of Data
- Support the Welsh Agenda

## STRATEGIC THEME

## PRINCIPLES

### SERVICE STANDARDS

Developing modern, fit-for-purpose technology that will be used to ensure efficiency whilst reducing our impact on the environment. We will develop a set of Digital service standards that will put the customer at the heart of our Business.

- Develop and embed Customer Service Standards. Ensure these are sustained through the lifetime of the Strategy
- Develop and embed Digital Service Standards. Ensure these are sustained through the lifetime of the Strategy
- Support the Welsh agenda

### STAFFING, SKILLS AND DEVELOPMENT

Create value through our workforce by understanding exciting talent and future talent. We will invest in our people to deliver the very best Digital Authority.

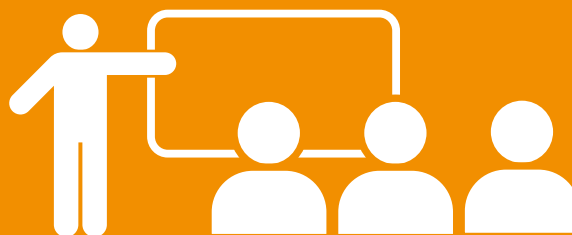


- Assess the skills required and develop a gap analysis
- Assess the capabilities required and develop a gap analysis
- Support the Welsh agenda
- Develop a pool of experts to support the Council on the delivery of Digital services
- Develop a people strategy

### SPEND CONTROL

Our Digital Service will align with our digital principles and service standard. The Governance and Leadership will be overseen by the Digital Leadership Group. All future spend will be evaluated against our standards and endorsed by the Digital leadership Group. There will be a review of all ICT systems and infrastructure to ensure we eradicate duplication.

- Complete infrastructure review for corporate and schools
- Complete system and budget review
- Develop Digital capabilities of our Partners and Supply Chains



### TIMETABLE FOR CHANGE

The Council will have a clear plan which will focus on the short term, within 18 months, the medium 3 years and longer term 5 years.

- Agree the strategy
- Agree the forward work plan



# HOW TO FIND OUT MORE

- Visit the Caerphilly County Borough Council website at **[www.caerphilly.gov.uk](http://www.caerphilly.gov.uk)**
- To access the action plan which supports this strategy go to **[www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx](http://www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx)**
- For more information on this Strategy phone **01443 863161** or email **[procurement@caerphilly.gov.uk](mailto:procurement@caerphilly.gov.uk)**  
Elizabeth Lucas, Head of Customer and Digital Services  
Phone: **01443 863160**  
Email: **[lucasej@caerphilly.gov.uk](mailto:lucasej@caerphilly.gov.uk)**
- Caerphilly Customer Services: Service Standards  
**[www.caerphilly.gov.uk/My-Council/Complaints-and-feedback/Customer-Services-Standards](http://www.caerphilly.gov.uk/My-Council/Complaints-and-feedback/Customer-Services-Standards)**
- Welsh Government  
Educational Digital Guidance for Schools  
**<https://gov.wales/education-digital-guidance>**
- Key Performance Indicators  
**[www.caerphilly.gov.uk](http://www.caerphilly.gov.uk)**



Caerphilly County Borough Council

# Digital Action Plan

2019 -2023

## Investing in our Digital Future

Connecting technology and knowledge to deliver excellent customer experience and opportunities through digital transformation.

TRAFODAETH CAERFFILI  
THE CAERPHILLY CONVERSATION



## Table of Contents

1. Introduction .....	3
2. Digital Action Plan .....	4
3. How to find out more .....	23



## 1. Introduction

The Caerphilly Council Digital Strategy has been published and can be found [www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx](http://www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx)

The strategy gives us our vision and strategic principles for a **#Digital Caerphilly**.

Supporting this strategy a series of more detailed actions have been developed and they are contained within this document. The Customer and Digital Services action plan will be a living document that will be updated and amended as the Service and Council transforms. The action plan will be reviewed on a regular basis via the Directorate performance assessment every quarter.

These actions will be delivered by the Caerphilly Customer and Digital Services team, and monitored and assured by the Caerphilly Digital Leadership Group. A set of Key Performance indicators will be developed over the life time of the strategy to ensure we continuously improve. These will be categorized into groups of indicators and reported on

Our vision being:

*“Investing in our future by opening the digital front door”*

## 2. Digital Action Plan

# Strategic Theme – Public Service Design

The Customer experience will come first in all that we aspire to do. It will be our aspiration to deliver an exceptional experience to all our customer through a range of different channels. Our customers and staff will be at the heart of our business. The approach to service will be welcoming, providing a courteous, positive and lasting impact. Passionate in our aim to change our service for the better. Dependable by building long term relationships based on trust and transparency. We will strive to do the right thing and be fair in our approach. We will remain in touch being interactive and diverse in our communications. Our policies and systems will be citizen centric.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
PS D1	Customers are to be at the heart of our business	The Council will encourage its communities to interact and use online solutions to deliver and develop local services	<p>Implementation of new digital platform for citizen transactions. My Council Services, includes citizen identity, a unified interface and standard consistent platform</p> <p>The Caerphilly Customer Charter has been implemented. Customer and digital services will adopt this charter in its customer service</p> <p>Customer Service standards have been approved by Cabinet and launched across the Authority.</p>	<p>Customer standards to be integrated into job descriptions and performance reviews.</p> <p>The Customer Service Standards need to be embraced by all CCBC employees</p> <p>Customer service standards to be integrated within job descriptions and</p>	<p>Connected to our citizens through the digital front door with an increased trend of customer satisfaction</p> <p>Easy, user friendly interaction. With resolution at first point of contact.</p> <p>Improved and consistent approach to customer services delivery and customer satisfaction</p>	<p><b>When</b> Ongoing through lifetime of the strategy 2019-2021</p> <p><b>Who</b> Customer and Digital service team</p>	KPI – Group 1 Customer satisfaction

				employee performance reviews.			
PS D2	<b>Our policies and systems will be citizen centric</b>	<p>Digital projects will have a positive impact on the customer experience.</p> <p>Whether we are delivering changes to customer facing processes or behind the scenes we will ensure that the current standard of customer experience is maintained or improved</p> <p>Develop formal customer and stakeholder engagement (internal, business, supplier, citizen ) to ensure we have insight, intelligence and feedback on our digital strategy and services</p>	Investment in new digital platforms to support self-service and 24 hour on line services (currently on a phased implementation programme)	<p>Full implementation of:</p> <p>Scan Station The provision of software to enable customers to provide the Council documented evidence where required using self-service or supported service scanning solutions.</p> <p>My Council Services via the Abavus platform. The provision of a customer portal to enable online service delivery tailored to individual preferences. To give the ability for customers to have a holistic view of their online interactions.</p> <p>Capita 360 payments platform. The delivering of integrated payment</p>	<p>Improved accessibility and Customer Satisfaction.</p> <p>Overall transformation of back office support services to release resource to the front line of delivery.</p> <p>Ability for Customers to interact and make payments 24hours a day 365 days of the year.</p>	<p><b>When</b> Projects to start April 2019. Full implementation over the next two years.</p> <p><b>Who</b> Return on investment audit to be maintained by Head of Service – Customer and Digital Services.</p> <p>Strategic lead Digital Leadership Group.</p>	<p>KPI – Group 1 Customer Satisfaction</p> <p>KPI – Group 2 Channel shift</p> <p>KPI – Group 3 Return on investment</p>

				<p>function providing a quick and seamless payment experience</p> <p>Implementation of Thoughtonomy, an intelligent automation platform</p>	<p>Streamline back office functions and prioritization and release of resource to the front line of delivery.</p> <p>Ensure we deliver services that are important to us and our customers in an appropriate manner. Contribute to the Medium term financial plan through better resource allocation.</p>		
PS D3	<p><b>Adopt a user first approach to delivery</b></p>	<p>To deliver easy to use, efficient and attractive digital services that customers will choose to use. We refer to this as making our services “Digital by Default”</p> <p>We will design digital services so that the widest group of customers will be able to use them.</p>	<p>Online process for requesting resident and visitor parking permits as part of the Civil Enforcement initiative live. The process can be accessed in Customer service centres for those who choose not to interact digitally.</p>	<p>As listed above</p> <p>Ensure we maintain and evolve fit for purpose alternatives to on line digital services</p>	<p>Deployment of systems which supports the use both internally and externally, across various channels. Accessible 24 hours a day/365 days per year.</p> <p>To keep pace with the growing expectations from the Customer for</p>	<p><b>When -</b> Throughout the lifetime of the strategy starting April 2019</p> <p><b>Who – Strategic lead</b> Cabinet, Corporate</p>	<p>KPI – Group 1 Customer Satisfaction</p> <p>KPI – Group 2 Channel shift</p> <p>KPI – Group 3 Return on investment</p>

		<p>We will always ensure that there is an alternative solution for customers who are unable to use digital solutions</p> <p>Where appropriate we will share data across the organisation in support of improved service delivery.</p> <p>Ensure we engage with business through innovative solutions</p>	<p>Contact Centre and alternative face to face service provisions are available</p> <p>Supplier portal and end to end eProcurement</p>	<p>Develop authority wide data analytics policy and tools to support decision making. (ability to make decisions based on facts and data)</p> <p>Develop interactive business solutions</p>	<p>Sustainable, effective Public Services.</p> <p>Alternative service provision for those who need it. Inclusive authority.</p> <p>Allow business to work with the Authority in a streamline manner</p>	<p>Management team. <b>Operational Digital</b> leadership group and Customer and Digital Services team</p> <p><b>When:</b> during period 2019/20 <b>Who:</b> Procurement and Information Manager</p>	<p>KPI – Group 3 Return on investment</p> <p>Strategy implementation review. Yearly</p>
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# Strategic Theme – Leadership

We will become a Digital Organisation through strong leadership. Our Culture will be shaped to embrace digital as the way of doing things not just about technology. We will adapt a multi discipline teams approach so that we see digital as a whole system issue. We will challenge our supply chains to bring innovation and value for money.

We will protect our citizen’s privacy and security.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
L1	<b>Appoint a digital leader for Caerphilly County Borough Council</b>	<p>We wish to achieve an innovative progressive Authority with a modern approach to business and Customer Services</p> <p>Commitment to breakdown the silos within the Council to develop flexi work flows and delivery teams</p>	Cabinet Member for Corporate Services has Customer and Digital responsibility within his portfolio and will act as the Digital lead	<p>Identify a Digital Champion within Cabinet – to ensure all members embrace the Digital approach set out within the strategy and work in a digital way.</p> <p>Formulate a Digital Leadership Team. Obtain representation from each of the Directorates. The Corporate Director for Education &amp; Corporate Services will chair</p> <p>Deployment of relevant technology to support cross functional working – such as Thoughtonomy and Abavus</p>	<p>Clear leadership and a development of a culture within the authority to embrace problem solving through innovation and appropriate technology.</p> <p>Continuous improvement through embracing change as a positive whereby technology is part of a solution not the totality.</p>	<p><b>When</b> - June 2019</p> <p><b>Who</b> - Cabinet and Corporate Management team</p>	KPI – Group 3 Return on investment

		Explore opportunities to work on a regional and national basis. Embrace collaboration on digital initiative and opportunities in the Cardiff Region City Deal.	Head of Service sits on the Cardiff region City Deal digital group.	Agreed strategy/policy for collaborative working	<p>The Council to be seen as leaders in Digital transformation and Service modernization.</p> <p>Ensuring value for money service solutions. All new deployments to demonstrate return on investment and contribution to MTFP</p> <p>Collaborative Council</p>	<p><b>When</b> – Within 12 months starting June 2019</p> <p><b>Who</b> - Cabinet and Corporate Management team</p>	
L2	<b>Develop Digital Leadership Group</b>	<p>Clear Leadership of Customer and Digital services within the Council</p> <p>Organisation transformation within the customer and digital</p>		Establishment of the Digital Leadership Team, Corporate Director for Education & Corporate Services will chair, Develop Terms of Reference for the group	<p>Corporate approach to Customer and Digital service delivery</p> <p>Rationalisation of products and services to support the</p>	<p><b>When</b>- June 19</p> <p><b>Who</b> – Director Education and Customer Services</p>	Strategy implementation review. Yearly

		services and business improvement functions			transformation programme and MTFP		
L3	<b>Agree Customer and Digital standards monitoring process</b>	Development of a Digital Culture to support digital services teams to promote flexibility, agility and leadership	Customer Service standard approved by Cabinet and currently in the process of being embedded into the organisation	Develop core set of Digital Service standards that will support the business transformation.  Obtain approval of Digital Standards by Cabinet.  Ensure Customer and Digital standards implementation is measured as part of the Performance monitoring framework	Standardization of Customer Service throughout the organisation.  Standardization of Digital Service standards throughout the Organisation.	<b>When</b> – Within 12 months starting June 2019 <b>Who</b> - Cabinet and Corporate Management team	KPI – Group 1 Customer Satisfaction  KPI – Group 2 Channel shift  KPI – Group 3 Return on investment
L4	<b>Lead a culture of Digital by default.</b>	Focus on the culture of our digital services teams to promote flexibility, agility, leadership, confidence and support of our people.		People development programme developed to enable required skills, behaviours, leadership and responsibilities in the customer and digital services teams	People obtaining the correct support. An improving organisation whereby we embrace a culture of trying new things and growing in ability.  Part of Caerphilly transformation programme	<b>When</b> – Within 12 months starting June 2019 <b>Who</b> - Cabinet and Corporate Management team	Strategy implementation review. Yearly
L5	<b>Promote the Customer and Digital strategy and adopt the correct level of</b>	Confidence from our customers and all other stakeholders that we “the Authority” understand the value of our data assets and that	ISO270001:2013 Public Services Network compliance Cyber Essentials Cyber Essentials Plus Payment Card Industry standards	Independent checks on our security readiness are performed annually by external organisation.	Protecting our data, information and services	<b>When</b> – throughout the lifetime of Strategy (to keep up with new	KPI – Group 4 Information Governance and Security



**security and privacy of Data.**

they feel is secure and used in an appropriate manner

Look to integrate our customer data wherever possible to avoid data islands and to encourage data sharing whilst ensuring compliance with data protection legislation.

We will implement standards around our

Privacy notices outline which functions will share personal data together with lawful basis, to ensure legal compliance and transparency. Wales Accord on sharing Personal Information (WASPI) facilities sharing of personal data across organisations where appropriate.

We use the National Cyber Security Centre recommendations as a baseline for our security readiness.

ISO27001:2013 audits are performed bi-annually by external organisation.

Monthly checks are performed across the infrastructure monthly using accredited security monitoring tools.

Raise confidence of staff in sharing data when appropriate via training/coaching. Data protection impact assessments whenever new technology is implemented or new initiative are proposed

Promote more “tell us once” services across the Authority.

Stakeholders trust Council to manage personal information appropriately. Stakeholders do not have to resubmit the same information to multiple service areas. Any requests to restrict or limit data use within the Council are recognised and handled in line with law

Cyber Crime coming forward)  
**Who –** Procurement and Information Manager supported by Information Governance Officer and Security Officer

**When –** throughout the lifetime of Strategy  
**Who –** Procurement and Information Manager supported by Information Governance Officer

data to support its creation, use, quality, how it is handled and timely disposal when it is no longer needed to reduce risks and comply with the Section 46 Statutory Code of Practice under the Freedom of Information Act.

We will ensure compliance with information rights legislation such as Data Protection and Freedom of Information

We will use data to improve performance reporting, corrective action, prediction/capacity management, and enhanced decision making.

Policies on records management, information risk management and data protection in place, together with associated guidance and training.

Training for all staff on responsibilities as well as clear guidance and processes available.

Predictive analytics and examples from NESTA report\* communicated to CMT as part of presentation on making better use of Council's data. CMT supportive.

Expand methods of training and awareness raising e.g. eLearning and embed standards into working practice, including automatically via digital solutions where possible, address records backlogs

Continue training and awareness raising. Scrutinise new proposals and audit existing work processes.

Develop skills in predictive analytics

Data information will be proactively created, managed and used to support services. Minimal data stored in physical locations and electronics systems by correct implementations of retention periods.

Data Protection Impact Assessments will be undertaken as early as possible whenever there is a new proposal. Information will be well managed so it is easy to locate for an information request.

Services actively use Council data to inform service delivery.

**When:** Throughout the lifetime of the strategy  
**Who:** Information Governance Officer supported by Digital Services

		<p>We will look to share appropriate data through open data techniques to enable new opportunities for others to access, analyse and develop innovation by the use of our data.</p>	<p>Publication of datasets online to satisfy FOI requirements.          Contribution to City Deal Open Data initiative.          Information Asset Registers document all our information, so we can assess what is suitable for proactive publication.          Corporate file plan developed that can be used to structure network drives open by default (permissions in sub-folders as necessary) (similar to WG practice).</p>	<p>Restructure network drives and address records backlogs to facilitate internal re-use through relevant data retention policies.</p> <p>Utilise Information Asset Registers to identify datasets that could be proactively published, working in conjunction with City Deal Open Data group.</p>	<p>All Council information open by default, to foster internal re-use. Council datasets proactively published externally, to benefit local economy.</p>		
L6	<p><b>Support the Welsh Agenda.</b></p>	<p>Caerphilly County Borough Council seen as a leader in Wales and support excellence in Customer and Digital Services</p> <p>Deliver customer centric services.</p> <p>Where appropriate align actions to the Future Generations Act.</p>	<p>Head of Service is an active member of Socitm and Cardiff region City Deal Digital Group.</p>	<p>Continue to develop relationships and support the Welsh agenda which appropriate to Caerphilly County Borough Council</p>	<p>Fit for Purpose Customer and Digital Services that is appropriate for wider Collaboration with Local Authorities and public sector in general</p> <p>To support national strategies and legislation such as:          Digital Vision for Wales          The Wales Digital First          The Digital Action Plan</p>	<p><b>When</b> – Throughout the lifetime of the strategy starting June 2019</p> <p><b>Who</b> - Cabinet and Corporate Management team</p>	<p>Strategy implementation review. Yearly</p>

\*<https://www.nesta.org.uk/report/wise-council-insights-from-the-cutting-edge-of-data-driven-local-government/>

# Strategic Theme – Service Standards

Developing modern, fit-for-purpose technology that will be used to ensure efficiency whilst reducing our impact on the environment. We will develop a set of Digital service standards that will put the customer at the heart of our Business.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
SS1	Develop and embed Customer Service Standards. Ensure these are sustained through the lifetime of the Strategy	Standard approach to Customer Services throughout the Council	Standards approved by Cabinet and currently being embedded into the organisation	Incorporate standards in to relevant HR policies where possible	A standard approach and good outcomes for the Customer	<b>When:</b> Through the lifetime of the Strategy. Agreed by Cabinet 2018 <b>Who:</b> Customer and Digital Services management team	KPI – Group 1 Customer satisfaction
SS2	<b>Develop and embed Digital Service Standards. Ensure these are sustained through the lifetime of the Strategy</b>	Standard approach to Digital Services Ensure the workforce has the appropriate technology to fulfil its role and deliver high quality service.  Development of a Digital Culture to support digital services teams to promote flexibility, agility and leadership		Develop core set of Digital Services standard that will support the business transformation.  Obtain approval of Digital Standards by Cabinet.  Ensure Customer and Digital standards implementation is measured as part of the Performance monitoring framework	Increasingly agile workforce creating an environment of trust where empowerment improves effectiveness.  Increased number of “hot desks” and shared accommodation.	<b>When:</b> Through the lifetime of the Strategy. <b>Who:</b> Customer and Digital Services management team	KPI – Group 1 Customer Satisfaction  Strategy implementation review. Yearly

				Provide education materials that will promote the Digital Service Standard.			
SS3	<b>Support the Welsh agenda</b>	<p>Deliver customer centric services.</p> <p>Where appropriate align actions to the Future Generations Act.</p>		<p>Deployment of tools such as Abavus, Thoughtonomy, O365 and other public sector applications which will support the Welsh Agenda.</p> <p>Ensure senior staff are fully engaged with the Welsh Agenda.</p>	More collaborative organisation which has the ability to engage and interact in a collaborative manner with all public services.	<p><b>When:</b> Lifetime of the Strategy as the Welsh agenda develops</p> <p><b>Who:</b> Head of Customer &amp; Digital Services</p>	<p>KPI – Group 1 Customer Satisfaction</p> <p>KPI – Group 2 Channel shift</p> <p>KPI – Group 3 Return on investment</p> <p>KPI – Group 4 Information Governance and Security</p> <p>Strategy implementation review. Yearly</p>

# Strategic Theme – Staffing, Skills and Development

Create value through our workforce by understanding exciting talent and future talent. We will invest in our people to deliver the very best Digital Authority.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
SSD1	<b>Assess the skills required and develop a gap analysis</b>	A modern, flexible and innovative workforce that is supporting the authority's digital transformation	<p>Draft agile working principles in place.</p> <p>Draft Strategy developing through the governance process.</p> <p>Draft report on implementation of O365</p> <p>Draft report on products and applications for future use.</p>	<p>Development of user profile. Identify the profile for each role across the Authority to define technology requirements.</p> <p>Undertake review of products/applications in use now and proposal for the future. Undertake a skills audit which will identify skills gap.</p> <p>Develop training plan for skills development on key applications</p> <p>Agile working principles embedded</p> <p>Development of device strategy</p> <p>Development of digital self-help and learning</p>	<p>Continuous improvement and learning of our staff with a core digital culture.</p> <p>To develop a learning ethos which will allow us to be open and learn from our mistakes</p> <p>Service areas see the benefit of skilled workforce.</p> <p>Workforce confident to engage with citizens through technology.</p>	<p>Currently in development to be completed in 19/20 financial year</p> <p>Customer and Digital management team.</p> <p>All Heads of Services</p>	KPI – Group 5 Training & Development

				modules to support users.			
SSD2	<b>Assess the capabilities required and develop a gap analysis</b>	Work to improve levels of digital skills, digital culture and inclusion		<p>Develop digital skills and culture programme with a focus on digital adoption to focus on both authority and wider citizen skill development. To be co-ordinated across other stakeholders within public sector and wider organisations</p> <p>Review of digital tools that can be made available to citizens to support inclusion (e.g. devices in libraries, self-scan)</p>	<p>Develop a scorecard of current inclusion levels (both within the authority and with citizens) and measure trends.</p> <p>Trained and confident staff, increase range of customers and staff embracing digital services.</p> <p>Reduction in digital exclusion across communities where there is limited access to technology or accessibility issues.</p>	<p><b>When:</b> Lifetime of the Strategy</p> <p><b>Who:</b> Regeneration Social Services Education</p>	
SSD3	<b>Support the Welsh agenda</b>	Excellence in Digital across the Welsh Public Sector	Head of Customer & Digital currently engaged with regional and national working groups	More joined up approach across Wales	Shared resource, centres of excellence and collaborative council	<p><b>When:</b> Lifetime of the Strategy as the Welsh agenda develops</p> <p><b>Who:</b> Digital Leadership Group</p>	KPI – Group 5 Training & Development
SSD4	<b>Develop a pool of experts to support</b>	Team/Taskforce to support transformation		Development of the Core Team and deployment in to service reviews.	Digital transformation of the Authority and	<p><b>When:</b> Lifetime of the Strategy as the</p>	KPI – Group 3 Return on investment



	<p><b>the Council on the delivery of Digital services</b></p>	<p>agenda and service reviews</p>			<p>return on investment on key applications.</p> <p>Develop new technologies that will showcase the possibilities available.</p> <p>Create team to promote strategy through delivery of technology.</p>	<p>2022 transformation agenda progresses</p> <p><b>Who:</b> Head of Customer &amp; Digital Services and Interim Head of Business Improvement Services</p>	<p>Strategy implementation review. Yearly</p>
<p>SSD5 Page 125</p>	<p><b>Develop a workforce strategy</b></p>	<p>A working environment where staff feel secure with digital transformation</p>		<p>Development of the Workforce Strategy with appropriate policies to work in a digital way</p>	<p>Confident workforce in the digital age</p>	<p><b>When:</b> By January 2020 - Lifetime of the Strategy</p> <p><b>Who:</b> Head of People Services</p>	<p>Strategy implementation review. Yearly</p>

# Strategic Theme – Spend Control

Our Digital Service will align with our digital principles and service standard. The Governance and Leadership will be over seen by the Digital Leadership Group. All future spend will be evaluated against our standards and authorized by the Digital leadership Group. There will be a review of all ICT systems and infrastructure to ensure we irradiate duplication.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
SC1	<b>Complete infrastructure review for corporate and schools</b>	Robust infrastructure in Corporate services and Schools with adequate funding model to support future resilience.  A infrastructure which allows collaboration and innovation	Limited investment  On premise service        WG created digital standards for schools.	Review current infrastructure and make recommendations to Cabinet.  Inventory comparison with manufacturer's support schedules to define roadmap for change.  Evaluate the best options of delivery in terms of on premise or cloud base technology.  School proposals to reflect WG digital standards.  Development of school and corporate infrastructure strategies.	Fit for purpose, cost effective and sustainable infrastructure in corporate and schools environment  Resilient and cost effective infrastructure providing best applications to the Customer.  Innovative technology and collaborative authority  Fit for purpose and funded appropriately digital applications and infrastructure within schools	<b>When:</b> During 2019/20 <b>Who:</b> Digital Manager    <b>When:</b> Lifetime of Strategy <b>Who:</b> Digital Manager	Strategy implementation review. Yearly  KPI – Group 3 Return on investment

SC2	<p><b>Complete system/application and budget review</b></p>	<p>System/application Rationalisation programme which will support the best technology.</p> <p>We aim to use Cloud-based solutions wherever possible in order to reduce our reliance on physical hardware that must be maintained, repaired and replaced individual assessments will be made when evaluating new requirement and we expect to have a hybrid solution to allow flexibility</p>	<p>Development of Systems contracts register.</p>	<p>Develop a programme focused on reducing the portfolio of digital solutions/applications, supported and governed by the digital leadership group. Delivering proactive management of the digital estate, working collaboratively to find the right mixture of solutions and functionality.</p>	<p>Measure and reduce the digital portfolio of solutions</p> <p>Ensure true value is obtained from the digital estate.</p> <p>Ensure we allow innovation</p>	<p>Procurement and Information Manager/Digital Manager</p> <p>Report to be established prior to March 2020</p>	<p>Strategy implementation review. Yearly</p> <p>KPI – Group 3 Return on investment</p>
SC3	<p><b>Develop digital capabilities of our partners and supply chains.</b></p>	<p>Create an environment where transactions delivered via standard technology.</p>	<p>Initial contract review</p>	<p>Streamline of applications in use within the Authority. Support training and development to the supply chain and partners</p>	<p>Increased digital transactions with partners providing greater effectiveness and efficiencies.</p>	<p><b>When:</b> By 2020/21 <b>Who:</b> Procurement &amp; Information Manager</p>	<p>KPI – Group 3 Return on investment</p> <p>Strategy implementation review. Yearly</p>

# Strategic Theme – Timetable for Change

The Council will have a clear plan which will focus on the short term, within 18 months the medium 3 years and longer term 5 years.

Ref	Key Principles	What we want to achieve	What has already been done?	What needs to be done? How will we achieve it?	What is the desired impact?	When/Who	Measurements
TFC 1	<b>Agree the proposed Customer and Digital Strategy</b>	Fit for purpose, customer and digital function which will enable the organisation to modernise and become more effective and efficient.	Customer and Digital Strategy in draft.	Governance framework to be followed. PDM – TBC P & R Scrutiny – 28 <sup>th</sup> May 2019 Cabinet – 12 <sup>th</sup> June 2019	Better outcomes for our customers and stakeholders	<b>When:</b> Start June 2019 <b>Who:</b> Head of Customer and Digital Services	Strategy implementation review. Yearly
TFC 2	<b>Agree the proposed Action Plan 2019 - 2023</b>	Fit for purpose, customer and digital function which will enable the organisation to modernise and become more effective and efficient.	Customer and Digital Strategy in draft.	Governance framework to be followed. PDM – TBC P & R Scrutiny – 28 <sup>th</sup> May 2019 Cabinet – 12 <sup>th</sup> June 2019	Better outcomes for our customers and stakeholders	<b>When:</b> Start June 2019 <b>Who:</b> Head of Customer and Digital Services	Strategy implementation review. Yearly

### 3. How to find out more

Visit the Caerphilly County Borough Council Website at: - [www.caerphilly.gov.uk](http://www.caerphilly.gov.uk)

To access the Customer and Digital Services Strategy document: -  
[www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx](http://www.caerphilly.gov.uk/My-Council/Strategies,-plans-and-policies/Procurement-strategies-and-plans.aspx)

For more information on this Strategy then you can telephone us on 01443 863161, or email us at [procurement@caerphilly.gov.uk](mailto:procurement@caerphilly.gov.uk) or contact the Head of Customer & Digital Services on:-

Elizabeth Lucas, Head of Customer & Digital Services  
Tel: 01443 863160 or Email: [lucasej@caerphilly.gov.uk](mailto:lucasej@caerphilly.gov.uk)

Caerphilly Customer Services Service Standards: -  
[www.caerphilly.gov.uk/mycouncil/complaints-and-feedback/customerservicestandards](http://www.caerphilly.gov.uk/mycouncil/complaints-and-feedback/customerservicestandards).

Welsh Government Educational Digital Guidance for Schools:  
<http://gov.wales/education-digital-guidance>

Key performance indicators: - [www.caerphilly.gov.uk](http://www.caerphilly.gov.uk)

# EQUALITY IMPACT ASSESSMENT FORM

October 2018

## THE COUNCIL'S EQUALITIES STATEMENT

This Council recognises that people have different needs, requirements and goals and we will work actively against all forms of discrimination by promoting good relations and mutual respect within and between our communities, residents, elected members, job applicants and workforce.

We will also work to create equal access for everyone to our services, irrespective of ethnic origin, sex, age, marital status, sexual orientation, disability, gender reassignment, religious beliefs or non-belief, use of Welsh language, BSL or other languages, nationality, responsibility for any dependents or any other reason which cannot be shown to be justified.

The Council is required to have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
- advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- foster good relations between people who share a protected characteristic and those who do not.

The Act explains that having due regard for advancing equality involves:

- removing or minimising disadvantages experienced by people due to their protected characteristics
- taking steps to meet the needs of people from protected groups where these are different from the needs of other people
- encouraging people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

The protected characteristics are:

- |                                  |                                  |
|----------------------------------|----------------------------------|
| • Age                            | • Race                           |
| • Disability                     | • Religion, Belief or Non-Belief |
| • Gender Re-assignment           | • Sex                            |
| • Marriage and Civil Partnership | • Sexual Orientation             |
| • Pregnancy and Maternity        | • Welsh Language*                |

\* The Welsh language is not identified as a protected characteristic under the Equality Act 2010, however in Wales we also have to treat Welsh and English on an equal basis as well as promoting and facilitating the use of the Welsh language.

Further advice on completing impact assessments can be found on the equalities pages of Corporate Policy Unit Portal.

## THE EQUALITY IMPACT ASSESSMENT

<b>NAME OF NEW OR REVISED PROPOSAL*</b>	Customer & Digital Strategy
<b>DIRECTORATE</b>	Education & Corporate Services
<b>SERVICE AREA</b>	Customer & Digital Services
<b>CONTACT OFFICER</b>	Liz Lucas Head of Customer & Digital Services
<b>DATE FOR NEXT REVIEW OR REVISION</b>	Yearly in line with Service Review

**\*Throughout this Equalities Impact Assessment Form, ‘proposal’ is used to refer to what is being assessed, and therefore includes policies, strategies, functions, procedures, practices, initiatives, projects and savings proposals.**

The aim of an Equality Impact Assessment (EIA) is to ensure that Equalities and Welsh Language issues have been proactively considered throughout the decision making processes governing work undertaken by every service area in the Council as well as work done at a corporate level.

The Council’s work across Equalities, Welsh Language and Human Rights is covered in more detail through the [Equalities and Welsh Language Objectives and Action Plan 2016-2020](#).

When carrying out an EIA you should consider both the positive and negative consequences of your proposals. If a project is designed for a specific group e.g. disabled people, you also need to think about what potential effects it could have on other areas e.g. young people with a disability, BME people with a disability.

There are a number of supporting guidance documents available on the [Corporate Policy and Business Support Portal](#) and the Council’s Equalities and Welsh Language team can provide advice as the EIA is being developed. Please note that the team does not write EIAs on behalf of service areas, the support offered is in the form of advice, suggestions and in effect, quality control.

Contact [equalities@caerphilly.gov.uk](mailto:equalities@caerphilly.gov.uk) for assistance.

# PURPOSE OF THE PROPOSAL

**1 What is the proposal intended to achieve?**

*(Please give a brief description and outline the purpose of the new or updated proposal by way of introduction.)*

In adopting the Customer & Digital Strategy the Council will set out its vision for developing and managing its interface with customers, staff and its digital environment.

The Council will embrace digital as a culture rather than just technology. We will adopt a learning ethos which will allow us to be open and learn from our mistakes, challenging the status quo to bring about real value public services to our customers.

It is our aim to keep pace with the growing expectations from the Customer for sustainable, effective Public Services.

Caerphilly will become a Digital Organisation, with clear Leadership and support for a culture of “can do” to supporting all of our stakeholders.

Digital in Caerphilly will be seen as a whole system approach which is stakeholder led so that we improve the customer and staff experience and the outcome of public services.

This Digital strategy will be evolving so that it continues to support national strategies and legislation such as:

- Digital Vision for Wales
- Digital First: Delivering Welsh Public Services Online
- The Welsh Government Digital Action Plan
- The Well-being of Future Generations Act
- Towards a Million Welsh Speakers: Cymraeg 2050 Strategy
- The Equality Act

It will reflect on the System Reboot report from Lee Waters AM to ensure that the Council is at the forefront of Digital Transformation in Wales. Our Digital Strategy needs to be a living programme, flexible, adaptable and alive to the changing environment; modular in nature so that it is easy to review and update annually in line with developments in the Digital landscape. Our approach will be continuous improvement to bring about real change and to improve the lives of those who live and work within our borough. Where appropriate our interactions with our customers and wider stakeholders will be Digital by default.

The Council is committed to ensuring it achieves value for money from its Customer and Digital services. It also recognises the value of using Digital tools to support its wider Cultural, Social, Economic and Environmental objectives, in ways that offer real long-term benefits to the community it serves.

The Strategy will build on the Councils success to meet the overarching Well-being objectives, our customer charter and our service standards.



	The overall Customer and Digital vision is ‘investing in our future by opening the digital front door’.
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<b>2</b>	<b>Who are the service users affected by the proposal?</b> <i>(Who will be affected by the delivery of this proposal? e.g. staff members, the public generally, or specific sections of the public i.e. youth groups, carers, road users, people using country parks, people on benefits etc. Are there any data gaps?)</i>  The Customer & Digital Strategy will affect CCBC employees, partners, residents, visitors, and businesses and suppliers within the County Borough and beyond. It will affect anyone who wishes to access the Council and its services.
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## IMPACT ON THE PUBLIC AND STAFF

<b>3</b>	<b>Does the proposal ensure that everyone has an equal access to all the services available or proposed, or benefits equally from the proposed changes, or does not lose out in greater or more severe ways due to the proposals?</b> <i>(What has been done to examine whether or not these groups have equal access to the service, or whether they need to receive the service in a different way from other people?)</i>  Developing our digital offering to create the best customer and staff experience possible will be supported with options of alternative service delivery channels for those who are not able or are yet to develop the ability to transact and communicate in a digital way. Our aim is to have an inclusive approach with equal access to services.  The strategy also supports the development of a bilingual offering to digital service delivery ensuring that compliance to the Welsh Language standards are further strengthened.  This will ensure that everyone has equal access to services by adding to the digital offering in addition to existing services and access channels.
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<b>4</b>	<b>Is your proposal going to affect any people or groups of people with protected characteristics?</b> <i>(Has the service delivery been examined to assess if there is any indirect effect on any groups? Could the consequences of the policy or savings proposal differ dependent upon people's protected characteristics?)</i>	
<b>Protected Characteristic</b>	<b>Positive, Negative, Neutral</b>	<b>What will the impact be? If the impact is negative how can it be mitigated?</b>
<b>Age</b>	<b>Neutral</b>	<p>We will deliver services that are designed digitally as a default standard.</p> <p>These services will be in addition to existing services and access channels.</p> <p>Research shows that the vast majority of our customers can access digital services (96% at the last Household survey).</p> <p>We provide free internet access at libraries.</p>
<b>Disability</b>	<b>Neutral</b>	
<b>Gender Reassignment</b>	<b>Neutral</b>	
<b>Marriage &amp; Civil Partnership</b>	<b>Neutral</b>	
<b>Pregnancy and Maternity</b>	<b>Neutral</b>	
<b>Race</b>	<b>Neutral</b>	
<b>Religion &amp; Belief</b>	<b>Neutral</b>	
<b>Sex</b>	<b>Neutral</b>	
<b>Sexual Orientation</b>	<b>Neutral</b>	

<b>5</b>	<p><b>In line with the requirements of the Welsh Language Standards. (No.1) Regulations 2015, please note below what effects, if any (whether positive or adverse), the proposal would have on opportunities for persons to use the Welsh language, and treating the Welsh language no less favourably than the English language.</b></p> <p><i>(The specific Policy Making Standards requirements are Standard numbers 88, 89, 90, 91, 92 and 93. The full detail of each Standard is available on the Corporate Policy Unit Portal. Although it is important that what is outlined in the proposal is available in Welsh and English, please consider wider impacts on Welsh speakers.)</i></p> <p>The strategy will be available in a bilingual format</p> <p>Where chosen to do so the digital offering will increase the provision of services in the medium of Welsh.</p> <p>The digital offering is in addition to existing services and access channels.</p>
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## INFORMATION COLLECTION

<b>6</b>	<p><b>Please outline any evidence and / or research you have collected which supports the proposal? This can include an analysis of service users.</b> <i>(Is this service effectively engaging with all its potential users or is there higher or lower participation of uptake by one or more protected characteristic groups? If so, what has been done to address any difference in take up of the service? Does any savings proposal include an analysis of those affected?)</i></p> <p>The proposed strategy adds to existing services and will provide our customers with additional choice in the way in which they interact with us.</p> <p>Users from protected characteristic groups who may be unable to access digital services will still be able to interact with us through existing channels.</p>
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## CONSULTATION

<b>7</b>	<p><b>Please outline the consultation / engagement process and outline any key findings.</b> <i>(Include method of consultation, objectives and target audience. What steps have been taken to ensure that people from various groups have been consulted during the development of this proposal? Have you referred to the Equalities Consultation and Monitoring Guidance?)</i></p> <p>The proposed strategy adds to existing access channel and, once approved, will be communicated to people wishing to access our services.</p> <p>The 2017 Household Survey shows that 96% of our residents can access services via the internet either through a computer or smartphone. The strategy will allow people to interact with us through technology.</p> <p>The strategy will support existing access channels and therefore adds additional services. No consultation is proposed.</p>
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## MONITORING AND REVIEW

<b>8</b>	<p><b>How will the proposal be monitored?</b> <i>(What monitoring process has been set up to assess the extent that the service is being used by all sections of the community, or that the savings proposals are achieving the intended outcomes with no adverse impact? Are comments or complaints systems set up to record issues by Equalities category to be able analyse responses from particular groups?)</i></p> <p>Customer usage data will be collected and analysed to understand the take up of new services</p> <p>The strategy is part of the authority's transformation programme and will be monitored as part of this.</p>
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<b>9</b>	<p><b>How will the monitoring be evaluated?</b>  <i>(What methods will be used to ensure that the needs of all sections of the community are being met?)</i></p> <p>Monitoring will be evaluated as part of service planning processes.</p>
<b>10</b>	<p><b>Have any support / guidance / training requirements been identified?</b>  <i>(Has the EIA or consultation process shown a need for awareness raising amongst staff, or identified the need for Equalities or Welsh Language training of some sort?)</i></p> <p>No additional support requirement identified. Plans already exist to support Welsh language customer services.</p>
<b>11</b>	<p><b>If any adverse impact has been identified, please outline any mitigation action.</b></p> <p>None as the strategy is promoting the addition of digital services to extend the current offering.</p>
<b>12</b>	<p><b>What wider use will you make of this Equality Impact Assessment?</b>  <i>(What use will you make of this document i.e. as a consultation response, appendix to approval reports, publicity etc. in addition to the mandatory action shown below?)</i></p> <p><b>This EIA will be appended to all reports for decision</b></p>

<b>13</b>	<p><b>An equality impact assessment may have four possible outcomes, through more than one may apply to a single proposal. Please indicate the relevant outcome(s) of the impact assessment below.</b></p> <p style="text-align: right;"><b>Please tick as appropriate:</b></p> <p><b>No major change</b> – the impact assessment demonstrated that the proposal was robust; there was no potential for discrimination or adverse impact. All opportunities to promote equality have been taken. <input checked="" type="checkbox"/></p> <p><b>Adjust the proposal</b> – the impact assessment identified potential problems or missed opportunities. The proposal was adjusted to remove barriers or better promote equality. <input type="checkbox"/></p> <p><b>Continue the proposal</b> – the impact assessment identified the potential problems or missed opportunities to promote equality. The justification(s) for continuing with it have been clearly set out. (The justification must be included in the impact assessment and must be in line with the duty to have due regard. Compelling reasons will be needed for the most important relevant proposals.) <input type="checkbox"/></p> <p><b>Stop and remove the proposal</b> – the impact assessment identified actual or potential unlawful discrimination. The proposal was stopped and removed, or changed. <input type="checkbox"/></p>
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<b>Completed by:</b>	Elizabeth Lucas
<b>Date:</b>	16/04/2019
<b>Position:</b>	Head of Customer & Digital Services
<b>Name of Head of Service:</b>	Elizabeth Lucas





## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 28TH MAY 2019**

**SUBJECT: PRINCIPLES ON IMPLEMENTATION OF O365**

**REPORT BY: CORPORATE DIRECTOR EDUCATION & CORPORATE SERVICES**

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### **1. PURPOSE OF REPORT**

- 1.1 To present to the Committee the principles on implementation of the Office 365 solution for Caerphilly. To seek the views of Members on the principles before its onward submission to Cabinet.

### **2. SUMMARY**

- 2.1 In line with the Council's Customer & Digital Strategy, we have been investigating the implementation of the latest version of the Microsoft Office 365 (O365) suite of tools.
- 2.2 These tools offer an extended suite of productivity and collaboration tools over the current Microsoft Office suite. The committee will be familiar with tools such as Word, Excel, PowerPoint and Outlook. O365 supplements these tools with further tools to manage team collaboration, digital teleconferencing and team planning. We believe these tools will assist with everyday challenges and barriers that officials have in working effectively, efficiently and collaboratively in the current systems environment. The introduction of the new product range will support the proposed Customer and Digital Strategy and the wider transformation strategy.
- 2.3 The implementation of this suite of tools will need to be formally managed with a focus on both activation of the technology solutions and also ensuring adoption of these solutions by officers across the Council. This will need to include showing the benefits of new ways of working that the tools will enable. There are many scenarios where we believe these benefits will show themselves – for example in co-authoring and document collaboration, team and cross departmental collaboration, structured to knowledge management, enabling further mobility and agile working, and running more effective meetings. There will also be benefits for the IT organisation in both cost reduction and simplification through rationalisation of products across the Authority.
- 2.4 The move of Microsoft to a subscription based licensing model reflects the current trends of software vendors and necessitates the implementation of O365. The changes in Microsoft licensing restricts the purchase of perpetual licenses, removing previously agreed Governmental discounts for such licenses.

### **3. RECOMMENDATIONS**

- 3.1 Members of the Scrutiny Committee are asked to consider and comment on the proposed principles on the implementation of O365 prior to its submission to Cabinet for endorsement. The principles are within Appendix 1.

#### **4. REASONS FOR THE RECOMMENDATIONS**

- 4.1 To ensure that the views of the Scrutiny Committee are considered prior to the proposed principles on implementation of O365 being presented to Cabinet.
- 4.2 The continued use of familiar applications such as Outlook, Word and Excel to aid productivity across the Authority combined with the introduction of new applications to support an agile workforce through collaboration, effective team working and accessibility to information.

#### **5. THE REPORT**

- 5.1 The appended principles has been under development since January 2019. Staff and key Officers have been instrumental in its development.
- 5.2 The principles attempt to outline our key principles on the following topics:
- Reason for selecting O365
  - Acquisition approach
  - Implementation and activation approach
  - Adoption and skills development approach
  - Financial plan
- 5.3 The project to implement this suite of tools will be significant and require careful management to ensure the successful implantation of the new technology alongside ensuring the new tools are used by the Council, and they get value from them.
- 5.4 Alongside the implementation of O365 there will be separate projects to review client devices and profile our customers; the outcome of these three activities will define appropriate tools for each role within the Business creating a seamless set of technologies that will become an enabler for greater efficiency and effectiveness.

#### **Conclusion**

- 5.5 The principles on the implementation of O365 attached in Appendix 1 sets out the Council's approach to the implementation of this pivotal suite of tools. These tools will provide the basis for embracing new ways of working, efficiency, mobile working, and collaboration within the Council that in turn will be used to enhance the delivery of citizen centric services.

#### **6. ASSUMPTIONS**

- 6.1 All details within the report are reflective of costings as of May 2019 and within budget 2018/19. Due to the nature of goods and services being procured, costings may increase or decrease depending on market fluctuation. Any fluctuations in costs associated with the implementation of the proposal within the report and outside pre-established budget will be subject to the necessary approval process in line with the Financial Regulations.

#### **7. LINKS TO RELEVANT COUNCIL POLICIES**

- 7.1 The strategy is aligned to the Councils Corporate plan and 6 well-being objectives by providing a gateway to Council services and supporting citizen centric services. The tools will encourage and support communities to interact and use online solutions to deliver services they require.



## **8. WELL-BEING OF FUTURE GENERATIONS**

- 8.1 The principles are aligned to the Wellbeing of future Generations (Wales) Act 2015 as it sets out to improve the social, economic, environmental and cultural wellbeing of the people of Wales. The adoption of the tools will enable a platform to provide an enhanced approach to the delivery of public services.

The Wellbeing and Future Generations Act calls for a massive step change in how organisation such as ourselves plan and deliver public services. Digital transformation will also require a different mind-set. Our proposed strategy is focused on "user need" and improved service delivery therefore providing opportunities for a prosperous and resilient Wales. Providing an equal opportunities to Council services which are safe and well connected.

## **9. EQUALITIES IMPLICATIONS**

- 9.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. No potential for unlawful discrimination and/or low level or minor negative impact has been identified, therefore a full EIA has not been carried out.

- 9.2 The completed EIA is attached at Appendix 2.

## **10. FINANCIAL IMPLICATIONS**

- 10.1 The existing Microsoft agreement will end in December 2020 and under Microsoft's licensing model we will need to move to O365 if we are to continue using Microsoft Office products and benefit from the many other collaborative and business tools available under the O365 suite. It is proposed that we move on a phased approach to O365 in readiness for this date ensuring our workforce have the confidence and knowledge to utilise the tools available.
- 10.2 Unfortunately there is not an option to remain as is with the current Microsoft offering & pricing model.
- 10.3 The Microsoft licences are currently funded from the PC replacement fund and the costs in the 2018/19 financial year was £424,823.80. Based on equal migration of the workforce to O365 over the next 18 months, the costs will increase by £13,580.00 in 2019/20 with a further increase of £172,543.00 expected in 2020/21. These projected increases are based on E3 licences. Other licenses and providers are available but these are more expensive than our current proposal.
- 10.4 At the end of this Microsoft agreement (2020) we will enter into a new agreement which will fix the unit costs for the following three years. It is currently estimated that our annual costs will increase in Dec 2020 to £720,142.30 which is approximately 20% increase on 2020 costs. It should be noted that the public sector across Wales has experienced price increase of between 50-60% on their Microsoft licensing when moving to O365 in recent years.
- 10.5 The financial implications of the migration to O365 will be kept under close revision during the implementation period and the additional funding required will be factored into the budget selecting process for 2020/21 and 2021/22 financial years.

## **11. PERSONNEL IMPLICATIONS**

- 11.1 Currently there are no personnel implications to the adoption of these new tools, other than the new digital skills that may be required and will be addressed within the project. The tools will enable new ways of working and these new mechanisms may require alternative processes and procedures to be in place which may have personnel implications. Any changes will be reported as required in line with corporate policies.

## 12. CONSULTATIONS

- 12.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

## 13. STATUTORY POWER

- 13.1 The Local Government Acts 1998 and 2003.

Author: Elizabeth Lucas, Head of Customer & Digital Services, [lucasej@caerphilly.gov.uk](mailto:lucasej@caerphilly.gov.uk)  
Consultees: Cllr, Colin Gordon, Cabinet Member for Corporate Services  
Cabinet Members (through PDM)  
Christina HARRY, Interim Chief Executive  
Corporate Management Team (CMT)  
All Heads of service.  
Customer & Digital Services – Management team  
Councillor James Pritchard – Chair of P&R Scrutiny  
Councillor Gez Kirby – Vice Chair of P&R Scrutiny

### Appendices:

- Appendix 1 Principles on Implementation of O365  
Appendix 2 Equality Impact Assessment Form

## **APPENDIX 1 - PRINCIPLES ON IMPLEMENTATION OF O365**

### **1. REASON FOR SELECTING O365**

- 1.1 Caerphilly is a long term user of the Microsoft Office suite of tools and have been satisfied with their applicability to core office scenarios around document creation, management, delivery, email, and other core functions.
- 1.2 The O365 suite of tools is the latest cloud based iteration of this suite of tools and includes the following advantages:

#### **Deliver familiar Office apps across mobile, web and PC**

- Desktop versions of Office applications on PC or Mac
- Web versions of Microsoft Word, PowerPoint, Excel, and OneNote
- Best-in-class mobile apps optimized for mobile phones and tablets
- Co-authoring in real-time or offline with rich reconciliation tools
- Easily store, share and access your files from all your devices

#### **Introduce new ways to work with experiences like Microsoft Teams**

- Microsoft Teams, a digital team hub that brings conversations, content, and apps together in one place
- Integrated video storage for teams and organisations
- Video broadcasting capabilities (curated or live) to connect your workforce
- Enterprise social networks to promote a culture of openness, feedback and diversity
- Vibrant company portals that inform and engage

#### **Amplify human ingenuity with AI-powered tools**

- Tools to augment human creativity with ink, text, voice, 3D, and virtual reality
- Ask questions using natural language to surface insights from data sets and visualizations
- Cognitive services to set up custom workflows to organize images, trigger notifications, or invoke processes
- Speech recognition that automatically adapts based on presented content with live captions and subtitles
- Discover behaviour patterns with insights that can improve productivity and engagement

#### **Trust that your data is secure and compliant**

- Industry-leading privacy and compliance offerings
- Support for cloud, hybrid, and on-premise deployments
- Protection that spans across users, devices, apps and data –1<sup>st</sup> party or 3<sup>rd</sup> party
- AI-powered security to identify known and unknown threats in your environment
- Customer data is only used to provide agreed upon services and if you leave the data is removed

- 1.3 Other office tools are available and our analysis and comparison was based on the Google G Suite. Our conclusions are:
- Fewer training costs and quicker adoption rates due to the familiarity of the Microsoft software.
  - The O365 suite of tools offer a wider grouping of functionality in a better integrated environment.
  - The success and popularity of the O365 solution provides more integration options across other public sector organisations, partners, and suppliers.

- O365 has security advantages in areas such as identity and access management, information protection, threat protection, security management, and accessibility and inclusiveness.

1.4 Office 365 is available in several options, offering increased functionality and more applications with higher license versions. Microsoft also offer the Microsoft 365 (M365) suite which includes all those applications in the O365 suite plus the Windows operating system and security functionality to protect the Business. The M365 options will reflect the O365 options ensuring like for like through the licensing models.

## 2. IMPLEMENTATION AND ACTIVATION APPROACH

2.1 The project will be managed by Digital Services and will feed into the transformation programme. Digital Services will deliver O365 based on the customer profile of the Business role. There are a number of interdependencies for the implantation of O365 and some of these are listed in 5.4 of this report however consideration also needs to be given to the impact on internet connectivity as O365 is cloud based. The implementation will be complex and culturally challenging, the implementation will therefore be completed by December 2020.

2.2 The O365 suite of applications is vast and talking to our colleagues across the public sector (including neighbouring Unitary Authorities and Higher Education) it is imperative to define those applications that will be implemented initially, providing the solutions without guidance and support will quickly create an environment which is difficult to work in, manage and benefit from the collaborative tools available. Once such an environment is created it will be difficult to change, trying to return to day zero will not achieve a suitable environment, it is therefore necessary to start with a clear objective and sound guidance.

It is proposed that the familiar applications such as Outlook, Word, PowerPoint and Excel are initiated to continue familiarity and create confidence, alongside these applications the collaborative tool of Teams will also be initiated. Guidelines on the use of Teams will be delivered as part of the implementation, this will give direction and create the experience needed to grow confidence in the new way of working.

2.3 The understanding of the different roles across the Business will be paramount to delivering the appropriate technology and tools to create a climate of can do and facilitate improved effectiveness. The output from the customer profile project will hold valid, current information regarding our customers, these can then be grouped to create personas or roles, which will define the tools required to deliver the appropriate services.

2.4 There will be several key stages to the project:

2.4.1 Project Group. The success of the project will be achieved through a dedicated internal team with external assistance if required, regular project updates and management through the Digital Leadership Team. The reporting structure, alongside resource allocations needs to be defined in this stage.

2.4.2 Pilot Stage. Creation of guidelines for the pilot groups and development of these guidelines following experiences of the pilot groups. The pilot groups will consist of a technical and several functionality pilots. The technical pilot will engage Digital Services who will configure and test known customisations and check for technical compatibility and reliability. The functionality pilots will engage customers who will operate the applications and provide feedback to the project team.

2.4.3 Business Roles. This stage will analyse the results of the customer profiling and device review and agree a set of technologies that will become an enabler for the role.

- 2.4.4 Delivery Schedule. Development of an implementation schedule across the Business for O365. It will be necessary to develop our training provision, realising that there is not one fit for all, offering different channels for the provision of training material.
- 2.4.5 Communication Strategy. The definition of a clear communication strategy and identification of a communication champion. The communication channels and style will need to be agreed, incorporating project updates, successes and frequently asked questions. This stage will need to define the project reporting line. It will be important to state which applications will be in first stage of implementation and ideas of when other applications will be introduced to the Business.
- 2.4.6 Implementation. Implementation of O365 across the Authority as defined in the schedule, at pre-defined points update guidelines and lessons learnt in readiness for next group, feeding into communication strategy. As part of the implementation activities, “Digital Champions” will be identified who will work closely with the project team to support colleagues and develop the O365 suite over time.
- 2.4.7 Phase 1 review. Once O365 has been rolled out across the Business it will be critical to have a full review of the project, identifying what went well and not so well and defining lessons learnt for subsequent stages.
- 2.5 We are working closely with Microsoft and benefiting from their experience in such migrations; it is our intention to take full advantage of Microsoft’s capabilities in similar such projects and will be looking to Microsoft’s technical and “Fast track” teams for assistance. We have worked with a Microsoft partner to assist in the initial configurations and to transfer their appropriate skills and knowledge to our internal teams.
- 2.6 The move to O365 will allow us to move our email and documents into the Microsoft cloud, allowing those servers in the Data Centre currently providing these services to be redeployed within the on-premise infrastructure. As a pre-requisite to this move it will be essential that staff perform appropriate housekeeping on the information held in line with data retention policies and General Data Protection Regulation. O365 will provide tools to easily search for information across documents and email that have been moved into the Microsoft cloud.
- 2.7 To create an environment that integrates fully with the Corporate network, Digital Services will enable access to O365 through the use of your standard network profile and password; to protect our Officers and the Authority this is only allowed from the secure Caerphilly CBC network. Access will be available from outside of the Caerphilly CBC network but to protect the Authority in these circumstances another form of authentication will be required in addition to your usual network identification and password, this multi factor authentication is an optional service in O365 but is included in the M365.
- 2.8 The move to a more agile workforce to increase effectiveness, improve efficiencies and support the asset management strategy will increase the number of mobile devices in use throughout the Authority. To protect the Authority against threats from cyber criminals and breaches in GDPR it will be necessary to manage these devices accordingly. The M365 suite will allow such management and the option to rationalise solutions will be achievable through this suite of applications. Careful consideration is needed to facilitate appropriate use of the device whilst offering necessary protection to the Authority.

### 3. ADOPTION AND SKILLS DEVELOPMENT APPROACH

- 3.1 The implementation of the O365 suite will require a widespread cultural change throughout the Business to achieve the benefits of the solution. As the interoperability of O365, agile working and customer profiles merge into a programme of works there will be a requirement to review some of the policies currently in use, and possibly to develop new procedures and policies.

Some policies that may need to be reviewed or created are:

- Those supporting agile and home working
  - Definition of working times
  - Supported devices for roles
  - Acceptable use of Authority supplied equipment
  - Information management
  - Information security
  - Freedom of Information
  - General Data Protection Regulation
  - Health and safety
  - Those supporting the use of social media
- 3.2 The customer profile will allow identification of the skills gap across the Authority, which will enable a programme of training to be developed to bridge the skills gap and facilitate greater use of the functionality in each application to drive the effectiveness and creativity across the Business. These profiles will be updated bi-annually and help to develop a workforce that will embrace change and be confident to use the technology to deliver efficient services.
- 3.3 It will be crucial to the implementation that Customer and Digital Services are able to support customers as they move to, and embrace, O365. The technology pilot will facilitate knowledge and combined with various channels of training and greater usage will create the experience in Digital Services to support the Business. The IT Service desk will be critical to this support and will be included from the start of the project as a key member of the support service.
- 3.4 Customer and Digital Services will be the first full service area migrated to O365, and will lead by example, it will be important however to have the project driven from the top within the Authority and a senior manager as Sponsor will promote and support the adoption of the technology. This approach combined with the elevation of Digital Champions across the Business will create empowerment and ownership by the Business, ultimately delivering better usage of the applications. Our Digital Champions will have regular interaction with the project team and feed into the decision making process for the programme of works.
- 3.5 Developing various training channels will allow Customers to choose the medium that compliments their training preferences, not everyone enjoys classroom based training, we live in a multimedia world and our training delivery will develop to reflect this. Where possible we will utilise the training materials from Microsoft that is available through O365.
- 3.6 Communication will be critical to delivering a successful project, and Digital Services will create a communication strategy to announce O365, how it can benefit the Business and where support can be obtained to benefit from the new technologies. The strategy will communicate to the Business at all levels, clarifying the benefits of the technology and where possible providing examples to stimulate creativity. The communication strategy will consider different options to deliver the messages and information regarding the project.
- 3.7 Cultural change will be embraced by some who will push the boundaries of the new technology and in doing so improve their service delivery, these achievements should be acknowledged and where appropriate used as examples of good practice. Understanding

how we embrace technology and use it to benefit our services will be core to the acceptance of the changes across the Authority.

There may however be some pockets of reluctance to the new technologies and it will be important that these groups are shown the benefits that can be achieved, and this will be best shown by real life examples. We will need to work with these groups and engage with them to alleviate any concerns they may have and where necessary help to develop the technology for their group. Digital Services will work with the Sponsor and Digital Champion in such circumstances

#### **4. FINANCIAL PLAN**

- 4.1 The existing Microsoft agreement will end in December 2020 and under Microsoft's licensing model we will need to move to O365 if we are to continue using Microsoft Office products and benefit from the many other collaborative and business tools available under the O365 suite. It is proposed that we move to O365 in readiness for this date ensuring our workforce have the confidence and knowledge to utilise the tools available.
- 4.2 The existing Microsoft agreement will end in December 2020 and under Microsoft's licensing model we will need to move to O365 if we are to continue using Microsoft Office products and benefit from the many other collaborative and business tools available under the O365 suite. It is proposed that we move on a phased approach to O365 in readiness for this date ensuring our workforce have the confidence and knowledge to utilise the tools available.
- 4.3 Unfortunately there is not an option to remain as is with the current Microsoft offering & pricing model.
- 4.4 The Microsoft licences are currently funded from the PC replacement fund and the costs in the 2018/19 financial year was £424,823.80. Based on equal migration of the workforce to O365 over the next 18 months, the costs will increase by £13,580.00 in 2019/20 with a further increase of £172,543.00 expected in 2020/21. These projected increases are based on E3 licences. Other licenses and providers are available but these are more expensive than our current proposal.
- 4.5 At the end of this Microsoft agreement (2020) we will enter into a new agreement which will fix the unit costs for the following three years. It is currently estimated that our annual costs will increase in Dec 2020 to £720,142.30 which is approximately 20% increase on 2020 costs. It should be noted that the public sector across Wales has experienced price increase of between 50-60% on their Microsoft licensing when moving to O365 in recent years.
- 4.6 The financial implications of the migration to O365 will be kept under close revision during the implementation period and the additional funding required will be factored into the budget selecting process for 2020/21 and 2021/22 financial years.

# EQUALITY IMPACT ASSESSMENT FORM

October 2018

## THE COUNCIL'S EQUALITIES STATEMENT

This Council recognises that people have different needs, requirements and goals and we will work actively against all forms of discrimination by promoting good relations and mutual respect within and between our communities, residents, elected members, job applicants and workforce.

We will also work to create equal access for everyone to our services, irrespective of ethnic origin, sex, age, marital status, sexual orientation, disability, gender reassignment, religious beliefs or non-belief, use of Welsh language, BSL or other languages, nationality, responsibility for any dependents or any other reason which cannot be shown to be justified.

The Council is required to have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
- advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- foster good relations between people who share a protected characteristic and those who do not.

The Act explains that having due regard for advancing equality involves:

- removing or minimising disadvantages experienced by people due to their protected characteristics
- taking steps to meet the needs of people from protected groups where these are different from the needs of other people
- encouraging people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

The protected characteristics are:

- |                                  |                                  |
|----------------------------------|----------------------------------|
| • Age                            | • Race                           |
| • Disability                     | • Religion, Belief or Non-Belief |
| • Gender Re-assignment           | • Sex                            |
| • Marriage and Civil Partnership | • Sexual Orientation             |
| • Pregnancy and Maternity        | • Welsh Language*                |

\* The Welsh language is not identified as a protected characteristic under the Equality Act 2010, however in Wales we also have to treat Welsh and English on an equal basis as well as promoting and facilitating the use of the Welsh language.

Further advice on completing impact assessments can be found on the equalities pages of Corporate Policy Unit Portal.



## THE EQUALITY IMPACT ASSESSMENT

<b>NAME OF NEW OR REVISED PROPOSAL*</b>	Microsoft Office 365
<b>DIRECTORATE</b>	Education & Corporate Services
<b>SERVICE AREA</b>	Customer & Digital Services
<b>CONTACT OFFICER</b>	Liz Lucas Head of Customer & Digital Services Gwyn Williams Digital Manager
<b>DATE FOR NEXT REVIEW OR REVISION</b>	Yearly in line with Service Review

**\*Throughout this Equalities Impact Assessment Form, ‘proposal’ is used to refer to what is being assessed, and therefore includes policies, strategies, functions, procedures, practices, initiatives, projects and savings proposals.**

The aim of an Equality Impact Assessment (EIA) is to ensure that Equalities and Welsh Language issues have been proactively considered throughout the decision making processes governing work undertaken by every service area in the Council as well as work done at a corporate level.

The Council’s work across Equalities, Welsh Language and Human Rights is covered in more detail through the [Equalities and Welsh Language Objectives and Action Plan 2016-2020](#).

When carrying out an EIA you should consider both the positive and negative consequences of your proposals. If a project is designed for a specific group e.g. disabled people, you also need to think about what potential effects it could have on other areas e.g. young people with a disability, BME people with a disability.

There are a number of supporting guidance documents available on the [Corporate Policy and Business Support Portal](#) and the Council’s Equalities and Welsh Language team can provide advice as the EIA is being developed. Please note that the team does not write EIAs on behalf of service areas, the support offered is in the form of advice, suggestions and in effect, quality control.

Contact [equalities@caerphilly.gov.uk](mailto:equalities@caerphilly.gov.uk) for assistance.

## PURPOSE OF THE PROPOSAL

<b>1</b>	<b>What is the proposal intended to achieve?</b> <i>(Please give a brief description and outline the purpose of the new or updated proposal by way of introduction.)</i>  The migration of Microsoft Office products from on premise solutions to cloud based solutions, this will include, over time, the introduction of new technologies. The move to cloud solutions will support the Authority's agile strategy and asset rationalisation programme.
<b>2</b>	<b>Who are the service users affected by the proposal?</b> <i>(Who will be affected by the delivery of this proposal? e.g. staff members, the public generally, or specific sections of the public i.e. youth groups, carers, road users, people using country parks, people on benefits etc. Are there any data gaps?)</i>  Those staff who currently have access to Microsoft Office products.

## IMPACT ON THE PUBLIC AND STAFF

<b>3</b>	<b>Does the proposal ensure that everyone has an equal access to all the services available or proposed, or benefits equally from the proposed changes, or does not lose out in greater or more severe ways due to the proposals?</b> <i>(What has been done to examine whether or not these groups have equal access to the service, or whether they need to receive the service in a different way from other people?)</i>  Access to the products will continue in the same way.
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<b>4</b>	<b>Is your proposal going to affect any people or groups of people with protected characteristics?</b> <i>(Has the service delivery been examined to assess if there is any indirect effect on any groups? Could the consequences of the policy or savings proposal differ dependent upon people's protected characteristics?)</i>	
<b>Protected Characteristic</b>	<b>Positive, Negative, Neutral</b>	<b>What will the impact be? If the impact is negative how can it be mitigated?</b>
Age	Neutral	None
Disability	Neutral	
Gender Reassignment	Neutral	
Marriage & Civil Partnership	Neutral	
Pregnancy and Maternity	Neutral	
Race	Neutral	
Religion & Belief	Neutral	
Sex	Neutral	
Sexual Orientation	Neutral	

<b>5</b>	<b>In line with the requirements of the Welsh Language Standards. (No.1) Regulations 2015, please note below what effects, if any (whether positive or adverse), the proposal would have on opportunities for persons to use the Welsh language, and treating the Welsh language no less favourably than the English language.</b> <i>(The specific Policy Making Standards requirements are Standard numbers 88, 89, 90, 91, 92 and 93. The full detail of each Standard is available on the Corporate Policy Unit Portal. Although it is important that what is outlined in the proposal is available in Welsh and English, please consider wider impacts on Welsh speakers.)</i>	
	None	

## INFORMATION COLLECTION

<b>6</b>	<p><b>Please outline any evidence and / or research you have collected which supports the proposal? This can include an analysis of service users.</b> <i>(Is this service effectively engaging with all its potential users or is there higher or lower participation of uptake by one or more protected characteristic groups? If so, what has been done to address any difference in take up of the service? Does any savings proposal include an analysis of those affected?)</i></p> <p>The service will be available to all staff who currently use Microsoft Office products. Actions Required: staff profiling will be performed to ensure that each staff member has access to the appropriate products.</p>
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## CONSULTATION

<b>7</b>	<p><b>Please outline the consultation / engagement process and outline any key findings.</b> <i>(Include method of consultation, objectives and target audience. What steps have been taken to ensure that people from various groups have been consulted during the development of this proposal? Have you referred to the Equalities Consultation and Monitoring Guidance?)</i></p> <p>No consultation has taken place at the moment as the products will replace those currently in operation and accessibility will not be affected. Actions required: review consultation requirements following pilot phases.</p>
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## MONITORING AND REVIEW

<b>8</b>	<p><b>How will the proposal be monitored?</b> <i>(What monitoring process has been set up to assess the extent that the service is being used by all sections of the community, or that the savings proposals are achieving the intended outcomes with no adverse impact? Are comments or complaints systems set up to record issues by Equalities category to be able analyse responses from particular groups?)</i></p> <p>Through pilot groups feedback, and engagement with staff before, during and after migration to new service. Actions Required: Formal communications and feedback during the project.</p>
<b>9</b>	<p><b>How will the monitoring be evaluated?</b> <i>(What methods will be used to ensure that the needs of all sections of the community are being met?)</i></p> <p>Continuation of accessibility to Microsoft Office products by staff.</p>

<b>10</b>	<p><b>Have any support / guidance / training requirements been identified?</b>  <i>(Has the EIA or consultation process shown a need for awareness raising amongst staff, or identified the need for Equalities or Welsh Language training of some sort?)</i></p> <p>Training has been developed to assist staff in the migration process and support will be available following migration.</p>
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<b>11</b>	<p><b>If any adverse impact has been identified, please outline any mitigation action.</b></p> <p>None</p>
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<b>12</b>	<p><b>What wider use will you make of this Equality Impact Assessment?</b>  <i>(What use will you make of this document i.e. as a consultation response, appendix to approval reports, publicity etc. in addition to the mandatory action shown below?)</i></p> <p>This EIA will be appended to all reports for decision</p>
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<b>13</b>	<p><b>An equality impact assessment may have four possible outcomes, through more than one may apply to a single proposal. Please indicate the relevant outcome(s) of the impact assessment below.</b></p> <p style="text-align: right;"><b>Please tick as appropriate:</b></p> <p><b>No major change</b> – the impact assessment demonstrated that the proposal was robust; there was no potential for discrimination or adverse impact. All opportunities to promote equality have been taken. <input checked="" type="checkbox"/></p> <p><b>Adjust the proposal</b> – the impact assessment identified potential problems or missed opportunities. The proposal was adjusted to remove barriers or better promote equality. <input type="checkbox"/></p> <p><b>Continue the proposal</b> – the impact assessment identified the potential problems or missed opportunities to promote equality. The justification(s) for continuing with it have been clearly set out. (The justification must be included in the impact assessment and must be in line with the duty to have due regard. Compelling reasons will be needed for the most important relevant proposals.) <input type="checkbox"/></p> <p><b>Stop and remove the proposal</b> – the impact assessment identified actual or potential unlawful discrimination. The proposal was stopped and removed, or changed. <input type="checkbox"/></p>
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<b>Completed by:</b>	Gwyn Williams
<b>Date:</b>	20/05/2019
<b>Position:</b>	Digital Manager
<b>Name of Head of Service:</b>	Elizabeth Lucas