

## Action Plan 2015 Response to Regulator Proposals

Number and reference of action	Original Document	Regulator Proposal	Action	April/May 2015	By When	Update November 2015	Status	Percentage completed	Result from Audit committee
32	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include developing and implementing a customer service strategy that supports the Council's strategic vision and improvement priorities.	To develop and implement a Customer Services Strategy.	A detailed Customer Services Strategy has been written and is in the first round of consultation. It has been shared with the customer service project group and is being prepared to go to P&R Scrutiny in June. The strategy covers a wide range of areas and provides a strategic approach to Customer services and clearly provides a vision and ways to achieve that vision within the current financial climate.	Report to P&R Scrutiny Committee in March 2014 explaining delayed till June.	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	
33	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include establishing clear links between the customer service strategy document, Improvement Objectives and departmental service improvement plans.	To develop and implement a strategy.	The CS strategy clearly identifies other Council and Partner Strategies of where customer services can help the other strategies to meet their outcomes, such as the draft Anti Poverty Strategy, The Single Equalities Plan and the Single Plan called 'Caerphilly Delivers'. There are specific links shown to the objectives in these and other strategies noted above. The new Council service evaluation process is an evidence based process subject to challenge which asks services to evaluate themselves against how they provide customer services. When the strategy is formalised this link will be clear.	Report to P&R Scrutiny Committee in March delayed till June 2014.	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	
34	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring the customer service strategy clearly sets out appropriate performance measures that enable the Council to manage, monitor, report and evaluate its strategy and other related strategies including its customer charter.	To develop and implement a strategy that includes performance management information.	The strategy clearly defines the purpose and measures will be set to show how near or far we are from that purpose.	Report to P&R Scrutiny Committee in March delayed till June 2014.	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	
35	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. Including customer services' performance measures in the Council's corporate performance reporting arrangements and ensuring they are subject to effective self-evaluation, challenge and scrutiny.	Review customer service standards then develop suite of performance managers based on the objectives of the strategy 10 links to 12	Performance Measures already exist and are reported on within the Corporate Management Team cycle, however they will be reviewed in line with the new strategy and developed into a more rounded suite of indicators. This should be completed by the end of the year. The Council has set up a customer project group that has a wide range of representatives who forms part of the a self-evaluation and challenge process and is a mechanism for raising issues of development in customer care.	Sept 14 (to go into performance report Oct 14	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	
36	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the Council's equalities and Welsh language objectives are being delivered and reflected in the customer service strategy.	The customer service strategy will include joint work with the Equalities, Policy and Translation unit to ensure there is input at the beginning of the process and during the process.	The Equalities and Welsh language objectives are reflected in the new strategy and this will be clear when the strategy is sent out for formal consultation towards the end of May 2015.	Nov-14	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	
37	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the lead Cabinet Member for customer services has clearly documented responsibilities and is provided with regular performance information.	Proposal to set up Customer Services Customer service programme board with cabinet member as lead.	The Cabinet Member for Customer Services sits on the newly formed Customer Services Project group which has terms of reference and responsibilities. One of the later activities for the group will be to view performance information. Performance Information based on the Corporate Management Scorecard is now being presented to Cabinet and this includes some customer service information although this will be reviewed to ensure the most relevant performance measures are included.	Nov-14	Customer Service Strategy still in draft form. Currently out to consultation with officers. Scheduled to be presented to P&R committee in January 2016	In progress	50%	

38	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring business cases are developed for service improvements that clearly set out and analyses the costs and benefits of the service improvement, and the expected improvements and the outcomes to be delivered.	To set up customer services board in which all cases would go to the board, not everything needs a case - so guidelines are needed for when case should be used and this will be included in the terms of reference of the board.	As noted above a project group has been set up with cabinet and service representation. This is an operational group. It was decided to use the existing corporate information technology group to receive business cases and approve cost / benefit analysis and act as the Strategic board with input from the more operational working sub-group. This action should be closed once the Strategy is adopted.	Nov-14	The Project Group and CITSG are now in place to monitor the strategy	Complete	100%	Recommend closure
39	Customer Services Review (August 2013)	<b>P2: Information and data.</b> Strengthen the approach to evaluating and improving customer services in a proactive way. This should include collecting and analysing customer views and satisfaction data for e-mail and telephone correspondence.	1) Review the Customer Service standards and measures. 2) Implement survey forms for one-stop-shops and survey of contact centre 3) Broaden to other contact e.g Housing repairs to find out what they do 4) add performance data to Ffynnon CMT scorecard	This recommendation is 70% complete with regard to the methods for recording satisfaction, however the standards still need to be reviewed and addressed and performance from the satisfaction data needs to be included within the reporting cycle.	Nov-14	A review of customer service standards will be implemented once the CS Strategy has been agreed.	In progress	70%	
42	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should set out a vision for each type of asset that shows how it contributes to the delivery of the Council's priorities.	Further develop the existing draft strategy	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Apr-14	There has been no further progress on this recommendation as previously agreed with P&R Scrutiny. Until the financial/political future for the authority becomes clearer it is difficult to foresee any immediate progress. Individual strategies are being formulated as part of the council's MTFP considerations and hence not having an overarching Asset Strategy is not considered a risk to the authority at this time.	Partially Complete - On hold	40%	Agreement sought as to whether to keep or close
43	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should set targets for assessing progress, including the condition and suitability of each asset.	Complete update of building conditions survey	All property condition surveys are now complete and the information provided is being acted upon.	Apr-14		Complete	100%	Recommend closure
44	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should describe an overall plan for implementing the Strategy.	To form part of development proposals as above (item 42)	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Apr-14	Given the comments above it is suggested that this recommendation be integrated into number 42 above	Incomplete - On hold	0%	Recommend Integrating
45	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should be approved by members.	Further develop the existing draft strategy	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Council Apr-14	Given the comments above it is suggested that this recommendation be integrated into number 42 above	Incomplete - On hold	0%	Recommend Integrating
46	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P2: Ensure that the individual service asset management plans are developed as soon as possible and are used to inform the Council's financial planning process.</b>	Develop Service Asset Management Plan (SAMP) and consider impact on the Medium Term Financial Plan (MTFP)	For the same reasons described above services are having difficulty understanding and planning their Property Asset needs. Having said that Building Rationalisation has been accepted by Council as an MTFP saving proposal and hence that will necessitate the need for some planning	Jan-Mar '14	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	Partially Complete - On hold	30%	Agreed that after MTFP agreement in autumn will be in better position to update or remove this proposal
48	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P4: Develop and implement arrangements to monitor the delivery of the strategy.</b>	Agenda updates on progress to Asset Management Group (AMG)	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Nov-14	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	Incomplete - on hold	0%	Agreed that after MTFP agreement in autumn will be in better position to update or remove this proposal

66	Information Management Review (November 2012)	P6: Further improve the response times for Freedom of Information (FOI) requests.	Continue ongoing Corporate Information Governance Unit actions of finding and implementing methods of improvement, including improvements to Publication Scheme.	FOI compliance rates have improved during the 2014 calendar year since inclusion in AGS. A number of procedural changes took effect at the end of 2014 inc reporting late/poor quality responses to the Chief Exec in order for a reminder to be sent, reduction of internal deadline to 12 days, quarterly service area reports on compliance rate, awareness raising sessions for senior management teams and training sessions for staff, so further improvements are anticipated to be in evidence over the coming months. Compliance has improved in the first quarter of 2015, but a lower number of requests were also received in this period. It has been decided to maintain this action in the Council's Annual Governance Statement to ensure improvements are sustainable.	Mar-14	The changes made a year ago have had the effect of raising compliance rates to 82%. Corporate Governance Panel decided to remove this action from the Annual Governance Statement to reflect this improvement. Continuing to maintain a reasonable compliance with the 20 working day response requirement is an ongoing challenge for any public sector body, particularly as request numbers increase year on year and number of staff to deal with the request in service areas reduces. It is also reasonable to accept that a certain number of complex requests will be received which will exceed the 20 working days for unavoidable reasons. For these reasons Information Governance Project Team and Corporate Governance Panel continue to maintain regular oversight of compliance rates which gives the opportunity to address any decrease and continue to find ways to improve, and it is recommended that this action is now complete.	Complete	100%	Recommend closure
SG2015/01	Local Authority arrangements for Safeguarding Children Issue date October 2014	P1 Develop a Corporate Safeguarding Policy that clearly specifies roles, responsibilities and procedures for safeguarding	Corporate Safeguarding Group established - Gareth Jenkins	Working Group set up and split into 3 Task Groups. Group 1 was set up to develop a corporate policy and research good practice, work is ongoing to define the audience, so the correct format is used i.e an easy read for awareness and a more detailed policy for professionals and those with greater involvement. Anticipated Policy to be consulted on and published by the autumn. The working group received familiarisation training in safeguarding so they are better able to understand their roles	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015.	Corporate Safeguarding Policy endorsed at Council on 17 <sup>th</sup> November 2015	Complete	100%	Recommend closure
SG2015/02	Local Authority arrangements for Safeguarding Children Issue date October 2014	P2 Agree Designated Safeguarding Officers within all of the Council's service areas.	Sub group set up to work on safer recruitment/HR policies – Lynne Donovan	The agreement of designated officers will form part of the policy. Task Group 2 is looking at aspects of safer recruitment and other HR policies such as Code of Conduct, DBS checks and references, Job Descriptions and Person Specifications to help all understand their safeguarding responsibilities.	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015	Corporate Safeguarding Policy endorsed at Council on 17 <sup>th</sup> November 2015	Complete	100%	Recommend closure
SG2015/03	Local Authority arrangements for Safeguarding Children Issue date October 2014	P3 Improve the range, quality and coverage of safeguarding performance reporting to provide adequate assurance that corporate arrangements are working effectively	Sub group set up to work on corporate governance - Gail Williams	Task Group 3 has been established to explore what other authorities report and how. It is proposed that performance measures are agreed and that monitoring, reporting and governance arrangements are strengthened to meet the recommendations. Please cross reference with P5 below.	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015	Corporate Safeguarding Policy endorsed at Council on 17 <sup>th</sup> November 2015	Complete	100%	Recommend closure
SG2015/4	Local Authority arrangements for Safeguarding Children Issue date October 2014	P4 Ensure all elected members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. This should also include volunteers.	Training is Safeguarding sub group established - Jane Haile	Following establishment of the Corporate Safeguarding Group, it became evident that a 4th Task Group was required to specifically look at the training requirements across the Council. The Task Group will research and implement appropriate training including for Elected Members. There is a need to map who needs training and at what level.	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015	Corporate Safeguarding Policy endorsed at Council on 17 <sup>th</sup> November 2015	Complete	100%	Recommend closure
SG2015/5	Local Authority arrangements for Safeguarding Children Issue date October 2014	P5 Identify and agree an appropriate internal audit programme of work for safeguarding.	this action is covered under proposal 3	The new Corporate Working Group decided to subsume P5 into P3 in terms of dealing with the actions as there is strong correlation between the audit and the governance of the work programme and the assurance that regulators look for.	As above.	Corporate Safeguarding Policy endorsed at Council on 17 <sup>th</sup> November 2015	Complete	100%	Recommend closure

