

## Action Plan 2020 Response to Regulator Proposals

Number and reference of action	Name of Report	Regulator Proposal	Action	PREVIOUS UPDATE	Service Officer Responsible	When will be completed by	CURRENT UPDATE - JANUARY 2020	Status	Percentage completed
46	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P2:</b> 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.	Develop Service Asset Management Plan (SAMP) and consider impact on the Medium Term Financial Plan (MTFP)	The Asset Management (Land and Property Strategy has been updated and taken to Cabinet May 19 for Approval. The following services have had their asset management plans completed by the Property department and are with services for sign off. They are; Corporate Offices Adult Education and Youth Service Housing Countryside Library Services Infrastructure In the following weeks draft versions of Cemeteries, Allotments and Amenity Sites are due to be completed.	Mark Williams	Jan-Mar '14 (change of completion date to March 2018 due to number of reviews that affect the outcome). Date changed to March 2020 see update	There are 22 SAMPS and 14 SAMPS have now been completed. The remaining 8 are in various stages of completion between 25%-75%. It is anticipated the proposal will be completed later this year as those that are due to be completed are signed off. After this the monitoring of the SAMPS will then move into day to day business.	In progress	90%
181A2016	Financial Resilience 2015/2016 issued April 2016	<b>P1</b> Developing income generation/charging policies.	A corporate policy on income generation/charging will be progressed once the WAO produces a final national report on its "All Wales Local Government Improvement Study: Strategic approach to income generation and charging".	The Strategic Action Plan for the #TeamCaerphilly - Better Together includes an action to develop a Commercial and Investment Strategy for Cabinet approval by the end of October 2019. After this time we will be a position to close this proposal for improvement.	Stephen Harris	01/04/2017 (changed) July 17	A Commercial Strategy has been drafted and a workshop was held with the Policy & Resources Scrutiny Committee on 14th January 2020. The draft Strategy will be presented to the Team Caerphilly Programme Board on the 6th February 2020 and will then be presented to Policy & Resources Scrutiny and Cabinet for formal approval.	In progress	75%
344A2016 (Audit year 15/16) Issued May 2016 / reported August 16	Review of arrangements to address external audit, inspection and regulation and proposals for improvement.	<b>P1</b> As the Council develops its vision and considers the future shape of the organisation, it should identify and plan for the workforce requirements to implement its vision.	Develop Staff Vision and Values to complement Cabinet Commitments. Research and Develop a holistic organisational development plan, that includes age profiling, re-skilling and potential apprenticeships. This would include supporting agile working policy and practise.	The Transformation Strategy #TeamCaerphilly 'Better Together' which is scheduled to go to Cabinet 12 June 19, identifies that we need to have the 'right people in the right place with the right skills'. The organisational development strategy will underpin the wider transformation strategy and is part of how we deliver the strategy. For that reason the OD strategy has been on hold waiting for completion of the overall approach and vision. The Strategic Action Plan includes an action to develop and Implement an Organisational Development Strategy by 31st January 2020.	Lynne Donovan	Oct 2017 Changed to April 2019 Changed to 31st Jan 2020	A Fixed term Principal HR officer (Workforce Development) has been appointed with effect from 7 January 2020. They will be meeting with all Heads of Service to consider current and future service delivery needs and the skills and experience employees will need.  The draft Workforce Development Strategy will be consulted upon in Summer 2020.	In progress	25%
654A2016 (issued March deferred due to election until June)	Savings planning (Financial Resilience Presented Cabinet 5th July 2017)	<b>P1.</b> Strengthen financial planning arrangements by: ensuring that savings plans are underpinned by robust business cases	1 Develop a new template to capture detailed information on future savings proposals. The template will include consideration of the Well being of Future Generations (Wales) Act 2015 to further develop links between the MTFP & Council Priorities an objectives. 2. Guidance notes to be produced to help managers understand why and how to complete.	We are currently refreshing the savings template and all significant service changes will require robust business cases to be proposed moving forward.	Stephen Harris	Oct - Dec 18	Savings templates were completed by officers for all savings proposals included in the Draft Budget Proposals for 2020/21. This will now be business as usual but the format and content of the templates will be kept under review to ensure that they remain fit for purpose.	Completed	100%
WAO Ref	Overview and Scrutiny - Fit for the Future?	<b>P1</b> Improving the provision of training and development opportunities for members to help a) improve their understanding of their role in overview and scrutiny; b) develop their skills to be able to scrutinise effectively; and c) improve their understanding and consideration of the Well-being of Future Generations Act when undertaking scrutiny activity by providing further training .	a) & b) - To run a self-evaluation Survey of officers and members (based on the good characteristics of scrutiny guidelines). Once the results have been analysed, the results and the WAO findings will be used to form a member workshop. The outcomes of member workshops will be used to triangulate these 3 different forms of intelligence to set an action plan for improvement. This outcome of this action is to have a developed action plan that will then be monitored by the Scrutiny Leadership Group.	A report was considered by Council on 16th April 2019, with 11 recommendations to improve the scrutiny function. Included in the recommendations were proposals to offer additional scrutiny training which will include scrutiny skills and knowledge in addition further WFG training in the form of a workshop in summer 2019, this will be included in an action plan for member training and development and will be monitored by Scrutiny Leadership Group.	Cath Forbes-Thompson	Jul-19	The Action stated that an Action Plan would be developed, this is completed and has been reported to Scrutiny Leadership Group on 2nd October 2019 with an update on the progress. Within the action plan to date we have held a WFG workshop on 11th September 2019 and offered to all scrutiny committee members, a further workshop has been planned for 23rd January 2020 for Partnerships scrutiny committee to focus on PSB scrutiny. Scrutiny Chairs training was arranged jointly with Gwent Local Authorities on 8th July 2019 and a further session has been organised on 27th January 2020. A Scrutiny questioning and listening skills training session has been planned for 12th March 2020. Peer Observations - All scrutiny committees have been provided with links to views webcasts of other local authority scrutiny committees linked to upcoming topics, in order to provide a different perspective. Visits to other local authorities will be organised during the first few months of 2020 for small groups of members wishing to observe other scrutiny committees. Members have been reminded that scrutiny good practice guides are available on the Members Portal.	Completed	100%

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609A2018-19	Issued July 2018	<b>P3</b> Setting clear priorities and actions for improvement for the scrutiny function taking into account current and future challenges	The above action to complete the survey and hold workshops with input from the WAO report will form the action plan that will address this proposal and will be monitored by Scrutiny Leadership Group	The report considered by Council on 16th April 2019 with 11 recommendations as noted above decided to implement the following changes immediately: Change the names of Education for Life and Health Social Care and Wellbeing to Education Scrutiny and Social Services Scrutiny respectively, in order to remove link to former Community Strategy. Adjust scrutiny committee structure, to ensure that there is sufficient capacity to consider items and not overburden some committees, Council opted for 5 scrutiny committees. Agreed to review in 12 months, decided to continue with 6 weekly cycle of meetings and retain committee size, agree to ensure that scrutiny committee chairs are consulted on all reports where applicable. Further work will be done to improve public engagement, develop policy development work. These actions will be included in the action plan to be monitored by Scrutiny Leadership Group.	Cath Forbes-Thompson	Jul-19	The Action stated that an Action Plan would be developed, this is completed and has been reported to Scrutiny Leadership Group on 2nd October 2019 with an update on the progress. Within the action plan to date; all changes to the committee structure have been completed and ongoing monitoring of consultation of scrutiny chairs is being carried out. Scrutiny Leadership Group were provided with an update of public engagement through use of social media at the October 2019 meeting and gave views on the next steps. Two Task and Finish Groups have been approved in terms of Policy Development Work and members will be encouraged to consider further work in this area when developing forward work programmes for the year ahead. At the end of the 12 month trial for the new scrutiny arrangements a review will be carried out and reported to Council who will consider the results and determine what is the best format for scrutiny going forward.	Completed	100%
New WAO ref 826A2018-19	<b>Service User Perspective Review</b> Final Dec 18 Presented to Cabinet 30 Jan 19	<b>P1</b> To ensure that the WHQS programme meets the needs of all tenants and leaseholders the Council should; • strengthen its communication approaches with all tenants and leaseholders, taking account of the experiences of different groups of residents; • monitor and report compliance with the Charter for Trust to address any identified issues; and • analyse complaints about the WHQS programme systematically to address the root causes and share learning to improve tenants' and leaseholders' experience of the programme	<b>Communication:</b> Current communication approaches will be reviewed with our tenant working group whilst also considering the responses received from the household survey.  <b>Charter for Trust:</b> included within all contract documentation and promoted at each pre-contract meeting, ensuring that information is required to be passed on to all members of the workforce including sub-contractors. Feedback from tenants to be analysed to learn from experiences.  <b>Complaints:</b> Tenant satisfaction returns will be reviewed to ensure any areas of concern are identified and addressed. As part of our complaints process each complaint will be considered to establish if any service changes are required to improve customer experiences for the future.	Customer satisfaction questionnaires are completed and responses reviewed to learn from tenant experiences and make improvements to service delivery. This includes telephone calls to obtain feedback on tenant experiences of the work, quality and compliance with the Charter for Trust Complaints: Although Response rates for 'Internal Works' to the previous postal surveys has been well monitored for a number of years with follow up actions addressed as and when required, the return rate for External Works was low.	Shaun Couzens	March 19 - March 2020	Communication is being provided using a range of media including newsletters, letters, local events, Corporate events, social media and various tenant groups. Letters advising tenants of planned works including the timing and extent of works to their properties have been reviewed and amended to provide more detailed information. Complaints: A new telephone survey process which went live at the end of January 2019 has seen an improvement in this area, where any issues experienced by the tenant can be discussed and followed up on by the relevant officer.	Completed	100%
WAO ref 994A2018-19	<b>WHQS Follow Up</b> Issued Jan 2019. Reported to Cabinet 30 Jan 19	<b>P1</b> The Council should ensure that members and tenants receive accurate WHQS performance information regularly about its progress towards achieving its 2020 programme deadline.	<b>Governance:</b> <b>The Repairs &amp; Improvement Group (R&amp;I)</b> is a representative of tenants who meet on a monthly basis. The Group challenge the progress of the WHQS programme and focus on a specific topic relating to WHQS such as Environmental Works, Sheltered Housing Programme and Post 2020 strategy. There is also a dedicated focus on Performance. Performance is also reported at each meeting using the WHQS scorecards that are produced monthly from the validation team. <b>Caerphilly Homes Task Group (CHTG)</b> is a representative of tenants and members specifically set up in 2012 to fulfil a commitment made by the Council following the ballot to fully involve tenants in the WHQS decision making process. The Group meets 6 weekly to receive and note information reports, to receive and consider varying reports and make recommendations to the Housing & Regeneration Scrutiny Committee, Policy & Resources Scrutiny Committee (P&R) and Cabinet.		Shaun Couzens	01/03/2020 (ongoing)	A standard set of performance reports have been developed and agreed with the R&I Group and these are presented and discussed at each monthly meeting with performance being a set agenda item. The same reports are then used to support all relevant committee reports so members, tenants and staff all have consistent information relating to the progress of the programme.	Completed	100%
		<b>P2</b> The Council should agree a Local Housing Strategy to set out its long-term vision for the future priorities for homes in Caerphilly.	1. Develop an up to date over arching Local Housing Strategy to set out the long term vision for housing within Caerphilly.	The Gwent Homelessness Strategy, which is a key strand of the Local Housing Strategy was approved by Cabinet on 12 December 2018. Consideration is being given to resources required and procurement opportunities available to develop an over arching Local Housing Strategy, and to review existing and develop new themed housing strategies	Shaun Couzens	Mar-20	A report setting out the Housing Development strategy for providing additional council homes has also been developed and will be considered by Cabinet on the 15th January, 2020. Having determined that there required resources to progress with the development of a local housing strategy are not available in-house, this is now being progressed by commissioning the services of a specialist external consultant via Procurement Services	In progress	25%
		<b>P3</b> The Council should ensure that Equality Impact Assessments are undertaken consistently.	1. Record and retain evidence that, where relevant, Equalities and Welsh Language issues are properly taken into account throughout policy development, consultation and approval processes. 2. Record decisions in committee reports in relation to EIAs in accordance with CCBC document 'Equalities Implications in Committee Reports 2018'	All Housing managers and officers responsible for housing policy development have been reminded of Equality Act obligations and received a copy of 'Equalities Implications in Committee Reports 2018'. Where completed, a copy of the relevant EIA has been attached, as background papers, to the committee report.	Shaun Couzens	March 19 - March 2020 (Equality Assessment is ongoing)	In addition to the previous update, relevant officers have now also received new EIA training to support the assessment process	Completed	100%

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WAO Ref 1073A2019 March 2019	Well-being of Future Generations - An examination of improving take up of the Flying Start Programme	Areas for Improvement - <b>Long term:</b> Council has started to track data on outcomes for children and consideration is needed for tracking parental outcomes	1. Develop a system to link to the employability / legacy programmes to track parental outcomes in tackling poverty. 2. Deliver training on and explore the use of the family resilience tool by frontline staff to track outcomes	1. A joint meeting was held between Family Support, Legacy and Employability leads to plan implementation of how to track parental transition to employability programmes 2. Resilience training has been delivered across different target groups. Evaluations were very positive and next steps identified.	Sarah Mutch	1. March 2020 2. July 2020	Parents from FS signing up to employability programmes or legacy projects are reported back to parenting team monthly and recorded. However, the best method for capturing and reporting the data over time is being developed. There is very good transition now between programmes. The parents from Lansbury have set up their own constituted group called Bridging the Gap and are now running their own events. at Christmas they ran their own Christmas grotto and party in St James ICC for the community for 100 children. They are now starting a pilot to run reception in St James ICC taking over responsibility for booking rooms and organising parent / community engagement and designing the new look cafe and children's area. They are supported by Parent Network who are also supporting a work placement for parents who wish to have work experience prior to applying for jobs or to improve their skills.	In progress	75%
		Area for Improvement - <b>Prevention</b> * Consideration of the approach to engaging those parents who are not currently taking up or attending Flying Start. * Consideration of the approach to re-engaging parents who are unable to attend regularly	Explore the initial data form Parent Champions to identify parental issues during 2018/19 and consider how this data could be used to shape future delivery	We have collated the data but this is yet to be analysed.	Sarah Mutch	Mar-20	The needs have been analysed and are shaping future commissioning and delivery. Please see example above regarding increased feeling of community ownership of buildings.	In progress	50%
		Area for Improvement - <b>Integration</b> * Consideration of how increasing take up and attendance could impact positively and negatively on the demand for, and capacity of, other Council and non-Council services (both public bodies and voluntary sector) * Consideration as to whether all step leads are fully conversant with the definition of Integration as set out in the Act	1. Explore use of the resilience framework to identify barriers to attendance 2. Explore development of 'My Journey booklet' into an electronic all for families 3. Develop case studies to show added value of integration of early intervention preventative services with statutory provision 4. There are 4 actions relating to corporate learning for staff and members to embed the 5 ways of working	This is in the early stages of development and planning prior to implementation.	Sarah Mutch & Ros Roberts	Action 1-3 - March 2020 Action 4. May 19- March 2020	The resilience framework is being used within the current existing assessments and will be used in the new ways of working to empower families to support themselves in their communities. Early Years Transformation programme has developed a model for implementation of phase 1 pilots being planned in detail for implementation in the Spring term. This will consider how to develop the My Journey booklet into an Early Years regional booklet / electronic booklet / app once the evaluation work is completed. Case studies are being developed to show the impact of parenting and employment joint working.	In progress	50%
		Area for Improvement - <b>Collaboration:</b> Consideration of how collaborating in different ways may help to engage parents who are not taking up the Flying Start offer, for example, health visitors, Parent Champions.	1. Implement use of the 'My Journey booklet antenatal to ensure families understand the programme and to all delivery partners. 2. Continue development of wider collaboration work through Children First task group	1. The My Journey booklet has been finalised and is at print run stage. 2. Following our initial research we believe there is more added value to a regionalised approach to collaboration under early years integration and Children First.	Sarah Mutch	Mar-20	Early Years Transformation programme has developed a model for implementation of phase 1 pilots, being planned in detail for implementation in the Spring term. This is a more regionalised and collaborative approach across Blaenau Gwent, Caerphilly, Newport, ABUHB and Public Health Wales.	In progress	50%
		Area for Improvement - <b>Involvement</b> Development of innovative ways of reaching and engaging families who do not take up entitlement or do not consistently attend sessions Consider impact of the 'parent champions'; Consistent provision of feedback across all Council services to people who engage in consultations Further exploration of how digital technologies could increase take up & attendance	1. Explore text remind systems for feasibility 2. Closer working between childcare and parenting teams for families who are struggling with attendance 3. Evaluate the impact of Parent Champions in the community.	1. Initial research is showing the text system is more complex to comply with unsolicited marketing rules so this may take longer to achieve. 2. There has been increased connection between childcare settings and parenting teams both informally as well as formally through the joint cluster meetings. 3. Plans to start evaluation of Parent Champions in the autumn term.	Sarah Mutch	1. August 2019 2. August 2019 3. March 2020	Family Support Workers have greater connection with both childcare, health and SLC teams to promote support available for families. Evaluation of the Parent Champion role is ongoing. However, the biggest game changer may be through the Early Years transformation programme work which is looking to support all families universally in a geographical areas of both Flying Start and non-Flying Start under an Early Years team of people from both LA and ABUHB with a wider team of more specialist people around the core team from across all agencies including voluntary sector. we are aiming to do this through the adapted Privacy Notice to work with all families under the Early Years system to prevent the most vulnerable families not knowing what support is available to them for early intervention and prevention.	In progress	50%
WAO Ref 1326A2019-20 Received 19 June 2019	Corporate Safeguarding arrangements for Children Report	<b>R3</b> Strengthen safe recruitment of staff and volunteers by: 1) ensuring that Disclosure and Barring Service (DBS) checks and compliance with safe recruitment 2) policies cover all services that come into contact with children; creating an integrated corporate compliance system to record and monitor compliance levels on DBS checks 3) requiring safe recruitment practices amongst partners in the third sector and for volunteers who provide services commissioned and/or used by the council which are underpinned by a contract or service level agreement.	1. Implement Safer Recruitment Policy across the Council 2. HR systems to be reviewed and improved 3. Internal Audit to monitor compliance in any audit work undertaken 4. Work with Procurement and Commissioning Officers across all Council services to develop a system to ensure compliance which can then be monitored	New - no previous update	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	1. Oct 2019 2. Oct 2019 3. Ongoing 4. December 2019	1. Final draft policy is due to go to Cabinet in February/March 2020 2. Completed 3. Internal Audit Team have received Safeguarding Training prior to undertaking programme of audits 4. Task Group established to progress implementation	1. In progress 2. Completed 3. Completed 4. In progress	80% 100% 100% 50%
		<b>R4</b> Ensure all relevant staff, members and partners understand their safeguarding responsibilities 1) Safeguarding training is mandated and coverage extended to all relevant council areas, and standard on induction programmes; 2) create corporate-wide system to identify, track and monitor compliance on attending safeguarding training inc. elected members, schools, governors and volunteers 3) requiring relevant staff in partner organisations who are commissioned to work for the council in delivering services to children and young people to undertake safeguarding training.	1. Fully implement the Training Programme across the Council through DSO Group supported by Children's Services 2. ITrent to be adapted to record all training using agreed drop down options. Retrospective training to be recorded See item 4 for R3 - repeated	New - no previous update	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	1. & 3. Dec 2019 2. October 2019	1. Training Framework implemented in November 2019 2. Work is ongoing to amend recording systems	1. Completed 2. In progress	100% 50%

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		<b>R6</b> Improve accountability for corporate safeguarding by regularly reporting safeguarding issues and assurances to scrutiny committee(s) against a balanced and council-wide set of performance information, covering conclusions of reviews or inspections, service performance data, key personnel data such as DBS checks and performance of contractors.	Annual Corporate Safeguarding Report will be presented to Social Care & Well Being Scrutiny Committee and to Audit Committee rather than being posted for information as it currently is. The Report will be available to all other Scrutiny Committees and can be called in as appropriate.	New - no previous update	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	July - Dec 19	Completed - forward work programmes have been amended WAO Report presented to Social Services & Well Being Scrutiny Committee in October and is scheduled to go to Audit Committee on 28th January 2020	<b>Completed</b>	100%
		<b>R7</b> Establish a rolling programme of internal audit reviews to undertake systems testing and compliance reviews on the council's safeguarding practices	Work with Internal Audit to review forward work programme and incorporate Corporate Safeguarding arrangements into audits going forward	New - no previous update	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	Sept 19 - ongoing	Completed - Corporate Safeguarding incorporated into Audit Work Programme for 2020 wherever relevant and appropriate	<b>Completed</b>	100%
		<b>R8</b> Ensure the risks associated with safeguarding are considered at both a corporate and service level in developing and agreeing risk management plans across the council	On the basis of the Review findings, the risks will be included on the Social Services Risk Register and the Corporate Director for Social Services will progress inclusion on the Corporate Risk Register through CMT.	New - no previous update	Dave Street and Gareth Jenkins	Sep-19	Corporate Safeguarding has been included in the Social Services Risk Register CMT and Cabinet confirmed that the risk does not need to be escalated onto the Corporate Risk Register	<b>Completed</b>	100%
Nov-19	Well-being of Future Generations 'Steps examination' = 'Preventing unnecessary admissions to hospital and facilitating timely discharges'	<i>Report received and service action plan finalised. Proposals and actions will be added to the list after the report is presented to Social Services committee.</i>							
WAO Ref 1603A Received Nov 19	Delivering with less - the Impact on Environmental Health Services and Citizens	<i>Draft Report received, proposals will be added to the list with actions when finalised and the report presented to committee.</i>							