

Action Plan & 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 July 2021	Status	Percentage completed
46	Asset Management (Land and Property) Strategy Review (September 2013)	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.	Develop Service Asset Management Plan (SAMP) and consider impact on the Medium Term Financial Plan (MTFP)	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 there could be a slow down in the pace of completion due to maternity cover, nevertheless 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 them move into day to day business.	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	The SAMP process has become business as usual. The documents need to be fluid and updated if there are any major changes in service delivery, for example Covid will have changed how some of our services will run and how we are utilising the buildings etc. SAMP documents are reviewed and updated annually or as required as the services' objectives and property requirements might change. The walk in service review and the flexible service review will have a major impact on quite a few of the SAMP's .	Completed	100%
181A2016	Financial Resilience 2015/2016 issued April 2016	P1 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".	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.	Stephen Harris	01/04/2017 (changed) July 17	The Commercial & Investment Strategy and associated Action Plan was approved by Cabinet at its meeting on the 9th December 2020. The Action Plan includes a review of fees and charges to ensure that tradeable services are supported by a thorough understanding of whole life costs as part of the decision to commercialise.	Completed	100%
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.	P1 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.	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 Spring 2020.	Lynne Donovan	Oct 2017 Changed to April 2019 Changed to 31st Jan 2020 Change to Autumn 21	The original date for completion was Oct 2017, but due to many factors this changed to April 2019, then 31st Jan 2020. The date of completion for a draft document was then changed to January 2021 and this deadline was met. The Strategy is now out to consultation and was scheduled for Policy and Resources Scrutiny Committee as part of that process on 6th July 2021. However this has now been deferred to September to allow for the staff survey results to be analysed and help inform the final strategy.	In progress	75%
	WHQS Follow Up Issued Jan 2019. Reported to Cabinet 30 Jan 19	P2 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.	Progress on the Local Housing Strategy has been delayed due to the ongoing pandemic, although some progress has been made with external consultants commissioned and virtual interviews taking place with key stakeholders. It is envisaged that the strategy will be completed by the end of this financial year, but this will be dependent on ongoing lockdown measures (Six month DPA update as at September 2020)	Shaun Couzens - changed to Jane Roberts-Waite	01/03/2020 change to October 2021	The process to develop a Local Housing Strategy started in July 2020 with the appointment of Arc4 Ltd consultants. Arc4 have been working closely with officers and partners throughout the pandemic and have produced a portfolio of background information including a concept document which is currently out for consultation with stakeholders. Public engagement will follow throughout the Spring in order to produce a draft. The Strategy document will be refined throughout the summer and be presented to Cabinet in October for approval.	In progress	60%
WAO Ref 1073A2019 March 2019	Well-being of Future Generations - An examination of improving take up of the Flying Start Programme	Areas for Improvement - Long term: 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	This is a whole system redesign including a 'single point of access' for all families ante natal to 7 years or age, with links built into older children and families to ISCAN (this is children with additional needs) and SPACE well-being panel. This action superseded, the heirarchy of support and parent champions are at the heart of that.	Completed	100%
		Area for Improvement - Prevention * 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	This is a whole system redesign including a 'single point of access' for all families ante natal to 7 years or age, with links built into older children and families to ISCAN (this is children with additional needs) and SPACE well-being panel. This action superseded, the heirarchy of support and parent champions are at the heart of that. The system redesign has been requested and supported by Welsh Government to address the many diverse strands of support related to post code and funding and to simply provide what is needed and what matters, and to reduce the complexity around all the different programmes. This has been a huge undertaking and has superseded individual improvements in seperate areas.	Complete	100%
		Area for Improvement - Integration * 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	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.	Sarah Mutch & Ros Roberts	Action 1-3 - March 2020 Action 4. May 19- March 2020	The whole system redesign has taken on integration with intergrated outcomes, co-location, shared databases, integration of the teams and so forth. This also includes voluntary sector and other statutory services. The Caerphilly pilot went life last month.	In progress	50%
		Area for Improvement - Collaboration: 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 though Children First task group	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.	Sarah Mutch	Mar-20	Please see above comment on tranformation	Completed	100%

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		Area for Improvement - Involvement 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.	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	Sarah Mutch	1. August 2019 2. August 2019 3. March 2020	Parent champions are embedded in the way of working, but the revolution is in the digital technologies and giving families a much wider in access and the right support at the right time. Face to face support still takes place to support those who are digitally excluded. Mifi units with chromebooks can be loaned to families with capabilities but no equipment or resource. Please see comment on tranformation above.	Completed	100%
WAO Ref 1326A2019-20 Received 19 June 2019	Corporate Safeguarding arrangements for Children Report	R3 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	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	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	1. Oct 2019 2. Oct 2019 3. Ongoing 4. December 2019	The Policy was agreed and endorsed by Cabinet 2nd of November 2020. Training has been addressed, see below. The Policy was agreed earlier than anticipated by Cabinet on the 2nd of November 2020. A procedure for new contractor training has been developed and is in the process of being signed off by HoS. Work is ongoing with procurement to develop letters to existing commissioned services so they are aware of the policy and expectations and ask them to up to the scheme. Based on legal advise we cannot enforce this for existing contracts but will also make them aware that if the contracts is extended etc that the new procedure will be in place. This aspect of the work is now complete.	1. Completed 2. Completed 3. Competed 4. Completed	100% 100% 100% 100%
		R4 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	1. Training Framework implemented in November 2019 2. Work is ongoing to amend recording systems	Gareth Jenkins on behalf of Procurement, HR and Internal Audit	1. & 3. Dec 2019 2. October 2019	Training has taken place over the long term at all tiers and tier one has had its mandatory 3 year refresher online. The learning was intended to go onto I-trent as a record and some learning has however it is intended to look at a bespoke learning management system so learning can be tracked. The Corporate Safeguarding Action plan is reported regularly to the Corporate Safeguarding board and Social Services Scrutiny and has many more activities than the ones originally set up to address the proposals. We believe this is now complete as it moves into normal day to day business of continuous learning and development.	1. Completed 2. Completed	100% 100%
WAO Ref 1600A Received Nov 19	Well-being of Future Generations 'Steps examination' = 'Preventing unnecessary admissions to hospital and facilitating timely discharges'	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.	An action plan of 11 actions were developed to address a range of 'areas for consideration' to the proposals of the 5 Sustainable Development principles	The report and action plan were arranged to go to Social services scrutiny early 2020, however due to Covid did not attend and by the time it was re-started most of the action plan was addressed and therefore not timely. As such this is attached as an information only item for Governance and Audit viewing.	Jo Williams	March - July 2020	Of the 11 actions all are completed except 1. The 1 is half complete and is to participate in and contribute towards the Gwent wide Adult Strategic Partnership review of referral systems and processes currently in place. This was delayed due to Covid but will recommence shortly. Systems to develop and effectively collate and analyse data to assist with predicting and forecasting service demand and trends has been completed and a project completed working with Rapid response nurses to prevented unnecessary admissions to hospital. This won an award from the Nursing Times. Work was also completed in up skilling care staff to spot signs of people with respirator issues to prevent admissions Weekly falls clinics are now operating within the North/South of the Borough and Physio services are using video calling to carry out remote assessments of those living in care settings to assess and improve mobility to reduce risks of falls.	Completed	100%
WAO Ref 1603A Received Nov 19	Delivering with less - the Impact on Environmental Health Services and Citizens	Build long-term financial and operational resilience of the service. Ensure that resources are used more efficiently Align corporate transformation approach with service sustainability actions	The service continues to review its resourcing requirements.	The Environmental Health services of the Council have had a longstanding aspiration to update and enhance software systems. It is anticipated that this will facilitate more efficient use of existing resources. Commercialisation opportunities are limited across these services, but any learning from the Council's transformation agenda will be adopted. Over recent years collaborative opportunities with other Authorities have been explored at length without identifying any significant benefits. However, this will be revisited should a suitable opportunity materialise.	Rob Hartshorn	Apr-22	The service continues to review its resources and collaborations, see previous update. There is little more in terms of specific actions to this proposal as the service collaborative opportunities becomes part of service thinking. We recommend this is now closed.	completed	100%
AW Ref 2272A Issued April 2021-22	Delivering Good Governance	P1 Consolidate Councils Plans into 1 single manageable to create and maintain a shared focus	There are 4 actions within the action plan to strenghten this area, with action to design graphic which shows the connections in a clear way.	New. Our plans are for different time periods and different purposes and audiences. A single plan will not provide clarity in this regard however we will do more work on the corporate plan to show the synergies	Ros Roberts	Nov-21			
	Delivering Good Governance	P2. Council should assign responsibility for each priority at both officer and political levels to increase accountability	There are 4 actions to strengthen this area: key one is use of Council Directorate Performance Assessment process, which is reported to Cabinet and scrutiny work programme. Each priority does have an owner so w will publisce ownership both on internet and corporate plans	New - Cabinet members and officers are assigned and we will increase how we show this.	Ed Edmundson	Oct-21			
	Delivering Good Governance	P3 Improve the quality of evaluation and greater use of outcome data to evaluate impact of delivery of priorities	Complete the Decision-Making Corporate Review. Project work to identify measurable outcomes of the Corporate Review (mointored by Transformation board) Embed DPA and CPA as self-assessment delivery of priorities	New	Ros Roberts	Mar-22			

