

Action Plan & Response to Regulator Proposals

Number and reference of action	Name of Report	Regulator Proposal	Action	PREVIOUS UPDATE March 2022	Service Officer Responsible	When will be completed by	CURRENT UPDATE January 2023	Status	Percentage completed
	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.	The new Local Housing Strategy entitled 'An Agenda for Change' was approved by Cabinet on the 27th October 2021. The strategy sets out the vision and priorities for the management and delivery of affordable homes in the county borough over the next 5 years. The strategy will be underpinned by a Delivery Plan which will breathe life into the strategy through a portfolio of actions and ensure its deliverability. An investment plan will also be developed and will set out clearly how the actions contained within the Delivery Plan will be resourced and funded. Arc4 Ltd have been commissioned to formulate the delivery plan and a series of workshops (linked to the 5 priorities in the strategy) are currently underway.	Nick Taylor-Williams/ Jane Roberts-Waite	27th October 21 Revised to Spring 2023	Arc 4 Ltd have facilitated a number of workshops which have helped to inform a draft Delivery Strategy which includes a series of actions that CCBC aims to deliver in collaboration with its housing strategy partners. The actions link to the 5 priorities in the strategy and is likely to be presented to Scrutiny in Spring 2023. A completed draft of the Delivery Plan was finalised in the Autumn 2021 however, some of the actions have been reviewed again in partnership with key organisations to ensure their continued relevance and has been further reviewed to ensure minimal duplication and a more coherent set of actions are included.	In progress	Local Housing Strategy - 100% Delivery Plan - 98% Investment Plan - 0%
AW Ref: 2272A2021-22 Issued April 2021	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 (monitored by Transformation board). Embed Council Method of self-assessment (called Directorate Performance Assessment and Corporate Performance Assessment) in the delivery of priorities	Research for the Decision making review, on the decision making route by other local authorities has been almost been completed. A survey has been carried out by a consultant with WLGA to establish what other authorities do and what the benefits and challenges arising from different decision making models. We are expecting a finalised paper on this in January 2022, and then will be able to bring a paper to corporate management team and Cabinet with proposals. The project work to identify measures that measure the corporate review has started, there is a local action plan to workshop each review and this work will complete the end of March 22. The Directorate Performance Assessment and Corporate Performance are now embedded and have been since the end of 2019. Using evaluative measures to 'self-assessment' is part of the daily business of running the 'self-assessment' process.	Ros Roberts	Mar-22	The Decision Making Review has concluded and the research showed that our formal decision making process is effective and other authority models were no more or less advantageous or quicker, however this also showed that there is more to do in training, promoting and creating greater access to the policies. This was a theme from another review so it is proposed to set up a separate and bespoke project to bring greater awareness of corporate governance policies at induction and more generally. The DPA and the CPA are now embedded and refinements are part of day to day work. The CPA informed the first self-assessment which was reviewed by Governance and Audit in Oct 22, went to Joint Scrutiny Nov 22 and endorsed by Cabinet 30 Nov 22. Improvements to his process and the evidence we use to evaluate is now day to day business. Project work did identify measures to use for each corporate review however the corporate reviews are being reviewed with a few to streamlining the workstreams and this work needs to be completed before 'evidence' can be assigned.	Completed	100%
AW Ref: 2272A2021-22 Issued April 2021	Delivering Good Governance	P4 ensure both executive and non-executive members maintain a focus on its agreed priorities, the Council should schedule key decisions well in advance in the Cabinet forward work programme; and consider how best to engage its scrutiny function in challenging constructively the Council's progress in delivering its objectives and in setting its direction of travel.	Starting to Scope work to enhance scrutiny function connections to Cabinet Scrutiny evaluation via self-evaluation survey, to inform improvement needs.	Scrutiny committees receive a copy of the cabinet work programme at every meeting, which now show reports scheduled up to 3 months ahead. In addition scrutiny committees are advised of significant key reports in advance at the time when the Cabinet date is being considered, to give scrutiny members the opportunity to add it to the scrutiny committee work programme and scrutinise before a decision is taken. Microsoft Forms training has been provided to staff as it be used to carry out the members survey.	Cath Forbes-Thomson	Oct-22	The survey was completed in March 2022 and the results of the survey were discussed with Chairs and Vice Chairs on 8th December 2022. There was a delay in discussing the results due to the pre-election period, the Elections and Members Induction programme, but we also needed to allow the new members on the scrutiny committees to be bedded in before taking the results to the Chairs and Vice Chairs, as the support and training needs of the scrutiny committees would need to be taken into account after a few months of meetings to agree actions. Following the discussions an action plan will be developed around training and reiterating some of the advice that has already been given in Members Induction.	Completed	100%
AW Ref 2451A2021-22 Issued June 2021	Financial Sustainability Assessment	P1 The Council should develop and implement a more comprehensive MTFP.	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and updates will be provided in future reports	The 2022/23 Budget Proposals were approved by Council at its meeting on the 24th February 2022. Council also received details of an updated MTFP that shows a potential savings requirement of £9.759m for the 2-year period 2023/24 to 2024/25. A further report will be presented to Cabinet in early autumn providing an update on the MTFP alongside detailed proposals in terms of addressing the savings requirement moving forward.	Stephen Harris	Mar-22	Details of the 2023/24 Provisional Local Government Financial Settlement were announced by WG on 14 December 2022. Caerphilly CBC will receive an uplift in funding of 6.9% (£22.152m). The 2023/24 Draft Budget Proposals considered by Cabinet on 18 January 2023 include a range of temporary and permanent savings proposals totalling £12.421m and the proposed use of reserves totalling £15.051m. Along with a proposed increase in Council Tax of 7.9%, a balanced budget can be achieved for 2023/24. The Cabinet Report also contains details of an updated Medium Term Financial Plan which shows a potential savings requirement of £48.047m for the two year period 2024/25 to 2025/26. The report also sets out the Council's approach to address the financial challenges moving forward and this will be subject to further detailed reports as service change proposals are firmed up.	In progress	40%
AW Ref 2451A2021-22 Issued June 2021	Financial Sustainability Assessment	P2 The Council should examine the processes in place for its annual budget setting, and for its in-year budget revisions and outturn reporting. As part of review, given significant underspends the Council has in recent years, it should assess whether the process needs strengthening. Should then identify and implement any actions for improvement	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and budget cycles and updates will be provided in future reports	The process to develop the 2022/23 Draft Budget Proposals included Finance Managers having a series of meetings with Heads of Service to identify service pressures and potential savings, which were subsequently discussed with Directors. A number of meetings were also held with CMT and Cabinet to agree priorities in terms of growth bids and investments. A longer-term view was also included as part of the budget setting progress with a focus on a three-year timeline. This has resulted in the early identification of a range of cost pressures that will require consideration moving forward. A further report is scheduled for Cabinet in the autumn which will provide an updated MTFP alongside proposals to address the anticipated financial gap. A review of capital budget monitoring arrangements is also currently underway with a focus on future reporting also being based on a three-year timeline.	Stephen Harris	TBA as part of the review timelines	Building on the approach adopted for developing the 2022/23 budget, a number of meetings have been held in recent months to identify service pressures and potential savings to inform the 2023/24 draft budget proposals, in addition to this, meetings were held for each Directorate where Directors and Heads of Service presented details of service pressures and potential savings to the Leader, relevant Cabinet Members and the Chief Executive. This ensured that there was an opportunity for appropriate challenge as part of the budget setting process and the approach will be adopted in future years. This has moved into day to day business as usual.	Completed	100%

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AW Ref 2451A2021-22 Issued June 2021	Financial Sustainability Assessment	P3 Help address funding gap identified in the MTFP, by developing programme of financial benefits from the Transformation Programme activities. Financial benefits arising are clearly defined and communicated and reported to members.	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and updates will be provided in future reports	The 2022/23 Budget Proposals report presented to Cabinet and Council in February 2022 identified a potential savings requirement of £9.759m for the 2-year period 2023/24 to 2024/25. Further work is now required to identify what financial savings will be delivered through the Transformation Programme to help offset the projected financial gap. It will also be important to capture details of productivity gains and cost avoidance achieved through transformation. The Transformation Team is in the process of developing an approach to ensure that all of this information can be evidenced and recorded. A further report will be presented to Cabinet in early autumn providing an update on the MTFP alongside detailed proposals in terms of addressing the savings requirement moving forward.	Stephen Harris	TBA as part of the review timelines	Details of the 2023/24 Provisional Local Government Financial Settlement were announced by WG on 14 December 2022. Caerphilly CBC will receive an uplift in funding of 6.9% (£22.152m). The 2023/24 Draft Budget Proposals considered by Cabinet on 18 January 2023 include a range of temporary and permanent savings proposals totalling £12.421m and the proposed use of reserves totalling £15.051m. Along with a proposed increase in Council Tax of 7.9%, a balanced budget can be achieved for 2023/24. The Cabinet Report also contains details of an updated Medium Term Financial Plan which shows a potential savings requirement of £48.047m for the two year period 2024/25 to 2025/26. The report also sets out the Council's approach to address the financial challenges moving forward and this will be subject to further detailed reports as service change proposals are firmed up. These reports will articulate the financial benefits arising from the proposed service changes.	In progress	40%
AW Ref 3005A2022 issued July 2022	Springing Forward - Workforce and workforce succession plans.	R1 In developing its service-level workforce plans, the Council should place the sustainable development principle at the heart of its considerations, and specifically ensure it: <ul style="list-style-type: none"> • builds on its experience of the COVID-19 pandemic; • takes account of longer-term trends that may affect service provision and the efficient use of workforce; • aligns with other strategic plans and outcomes; • takes account of the needs of staff, service users and partners, and • sets out SMART performance measures and appropriate monitoring and reporting arrangements. 		New	Lynne Donovan	Spring 2023	Draft workforce planning toolkit has been developed which is being piloted by three Heads of Service. Feedback to be reviewed and any necessary amendments reflected in the toolkit which will then be rolled out across the Authority.	In progress	50%
AW Ref 3086A2022 issued July 2022	Springing Forward - Assets	Develop a longer-term asset strategy R1 In developing its asset management strategy, the Council should ensure it: <ul style="list-style-type: none"> • takes account of longer-term trends that may affect service provision and the efficient use of assets; • ensures alignment with the outcomes of other relevant strategic documents, including decarbonisation and digital strategies; • sets out the Council's intended outcomes over the short, medium and longer term; • sets out SMART performance measures that provide insight to decision makers; and • revises the Service Area Management Plan criteria to include active consideration of residents' needs over the medium to longer term. 	The Council is appointing a new Head of Land and Property who will have responsibility, among other things, for redeveloping and integrating the Council's Asset Management Plans and ensuring they integrate with the wider suite of strategic documents. The post holder will have the role of refreshing our approach to Asset Management as a key priority. As part of the redevelopment of the approaches to Asset Management, we will ensure appropriate outputs and outcomes are set with targets and timescales introduced where appropriate. We will look to include some specific recurrent questions within its next Caerphilly Conversation that will provide insight into residents' views on community assets and their use.	New - Report received in July 2022	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property Caerphilly Conversation - Sue Richards Head of Transformation	01/04/2023 Jan 2023	A new head of Land and Property was appointed November 2022 and is developing and action plan to develop a longer term strategy and integrating this with other strategies. This work commenced in January 2023. The consultation on the Caerphilly Conversation concluded at the end of December and the results are being collated and analysed with a draft outcome due the end of January 2023.	In progress	10%
AW Ref 3086A2022 issued July 2022	Springing Forward - Assets	Secure Resources R2 Secure sufficient and skilled resources to deliver the strategic vision effectively, including to: <ul style="list-style-type: none"> • manage the disposal or transfer of surplus assets; • implement digital solutions; and • engage with and involve communities around their needs 	The Council is developing a new approach to Recruitment and Selection designed to enhance its chances of securing and retaining critical resources We are exploring opportunities to provide additional support for critical resources through an enhanced relationship with its supply chains. The Council is implementing a cloud strategy to future proof its approach to the delivery of digital solutions through the use of Software as a Service. As well as adapting its Caerphilly Conversation to seek views on assets, this will strengthen further the involvement aspects of any disposals or changes to existing services. Strategic community involvement work is already programmed to ensure assets, particularly those linked to the Walk In Services corporate review, are developed around community need. This approach is in line with the council's Consultation and Engagement Framework, adopted in February 2020. Ongoing process of highlighting opportunities within the Community Asset Transfer scheme with community members during engagement process.	New - Report received in July 2022	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property Caerphilly Conversation - Sue Richards Head of Transformation	Autumn 22		In progress	
AW Ref 3086A2022 issued July 2022	Springing Forward - Assets	Evaluate the benefits of partnership working R3 Collaborate with public sector partners across Gwent to evaluate the potential benefits of developing a strategic long-term approach to a single public estate.	There are clear and obvious benefits from collaborating with other public sector bodies, previous attempts to do so across the Gwent PSB have proved challenging and are reliant on partners wanting to pursue opportunities. This recommendation, therefore, is not entirely in the Council's gift to resolve. That said, the advent of Agile working practices do clearly provide new opportunities for redundant building capacity to be used by either private or public partners, maximising the use of assets while reducing the costs.	New - Report received in July 2022	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property	Dec-22		New	

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AW Ref 3219A2022 Nov 22	Homelessness Report	R1 Strengthen its planning and monitoring for homelessness by: <ul style="list-style-type: none"> • better use of forecasting and benchmarking data; • setting a clear longer-term vision to meet changing needs; • developing clear milestones and targets to assess its progress; • identifying measures to evaluate the impact of its preventative activity; • ensuring the required medium to longer-term resources are reflected in its Medium Term Financial Plan 	Strengthening planning and monitoring approach with clear milestones and use of better forecasting is something that we will explore recognising that in this current economic climate the trends are only going one way. Investigating different evaluation measures of our preventative activity will be important as we move through the years of the Rapid Rehousing strategy. The Financial situation is concerning and we will be making a strong case as we are required to identify saving and essential growth will need to be fought for in the medium Term Financial Plan		Nick Taylor-Williams/ Kerry Denman		<i>Specific Actions will be developed and included in the future registers with completion dates once the report is presented to Committee</i>	New	
AW Ref 3219A2022 Nov 22	Homelessness Report	R2 Continue to work with its partners (internal and external) to address some key areas for improvement, <ul style="list-style-type: none"> • engaging partners earlier in the development of key plans, strategies and developments; • identifying opportunities to improve the completeness and timeliness of shared information; • assessing the opportunities to improve the offender pathway; • improving the dialogue with partners around what constitutes a 'reasonable offer of accommodation'. 	We commit to continue work with partners to address key areas of improvement and work in partnership through the homeless service and without that approach we wouldn't deliver and make improvements. The RTTP embodies this approach and cannot be delivered without early engagement and collaboration in developing our plans going forward. We will review ways to improving offender pathways ensuring info is agreed in a timely fashion is critical to this pathway improvement and all of our work in this area.		Nick Taylor-Williams/ Kerry Denman		<i>Specific Actions will be developed and included in the future registers with completion dates once the report is presented to Committee</i>	New	