

Action Plan 2017 Response to Regulator Proposals

Number and reference of action	Original Document	Regulator Proposal	Action	Previous update Nov 2016	Service Officer Responsible	When will be completed by	Update May 2017	Status	Percentage completed
32	Customer Services Review (August 2013)	P1: Governance and performance management. 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.	The new customer service strategy has been approved by Cabinet. The strategy is being implemented by a Project Team, managed by the Head of Procurement and is one of the projects within the Business Improvement Programme. The % completion has been reviewed based on timescales and indicative workload in the draft implementation plan	Liz Lucas Head of Customer Services	Report to P&R Scrutiny Committee in March 2014 explaining delayed till June.	Customer Service Strategy Action plan is complete. A draft CMT report is being prepared. Report to be progressed during May 2017.	Complete	100%
33	Customer Services Review (August 2013)	P1: Governance and performance management. 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 new customer service strategy has been approved by Cabinet. The strategy is being implemented by a Project Team, managed by the Head of Procurement and is one of the projects within the Business Improvement Programme. The % completion has been reviewed based on timescales and indicative workload in the draft implementation plan	Liz Lucas Head of Customer Services	Report to P&R Scrutiny Committee in March delayed till June 2014.	Customer services strategy issued to all HOS for incorporation into departments self assessments and service improvement plans for 2017 onwards. Customer Services action plan issued to all Directors and Heads of Service for consultation. All comments and feedback incorporated into the plan for 2017	Complete	100%
34	Customer Services Review (August 2013)	P1: Governance and performance management. 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.	To develop and implement a strategy that includes performance management information.	Liz Lucas Head of Customer Services	Report to P&R Scrutiny Committee in March delayed till June 2014.	New set of performance measures approved for Customer Services. Information is recorded on the corporate system - Fynnon. Performance monitored inline with corporate services procedures on a quarterly basis at corporated services SMT. In addition Cabinet Member for Corporate Services receives a quarterly update and review on all outcomes	Complete	100%
39	Customer Services Review (August 2013)	P2: Information and data. 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 Fynnon CMT scorecard	The new customer service strategy has been approved by Cabinet. The strategy is being implemented by a Project Team, managed by the Head of Procurement. This is one of the projects sponsored and monitored by the Business Improvement Board. As the development is closely tied to the implementation of the strategy the % completion has been reviewed based on timescales and indicative workload in the draft implementation plan	Liz Lucas Head of Customer Services	Nov-14	We are still reviewing the customer service standards and measures however we have now set a new list of KPIs which are updated and reported to SMT via Fynnon. We have done one survey and having evaluated it we need to make some changes. The Head of Customer Services & Procurement is currently drafting a survey strategy and draft surveys and it is planned to carry out the activity over the summer but the scale will depend on budget savings and where to target improvement areas	In progress	70%
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)	The draft Corporate AMP has identified the importance of effective Service Asset Management planning and identified where such plans exist and where they do not. Where they do exist then those plans will need to be reviewed to strengthen links with the Corporate AMP. Where they do not exist the question to be answered is "is there a need for a service AMP?".	Mark Williams	Jan-Mar '14 (change of completion date to March 2018 due to number of reviews that affect the outcome)	The corporate Asset Management Strategy was approved at Council Nov 16. The strategy identifies that 8 out of 16 services have a service asset management and a further 8 are in development, under review or going through transformation for example Fleet services are in the process of awarding a 7 year managed service contract. The Leisure Strategy is part of a wider review with consultants report being looked at (see Leisure Review proposal). Youth and Adults are pending a review on potential grant reductions which would affect the direction of their assets. The completion of the SAMPs (where required) will be monitored at the Asset Management Group and good progress is being made in this area.	In progress	50%
48	Asset Management (Land and Property) Strategy Review (September 2013)	P4: Develop and implement arrangements to monitor the delivery of the strategy.	Agenda updates on progress to Asset Management Group (AMG)	The draft Strategy includes recommendations for future monitoring and these recommendations will be put in place when/if the corporate AMP is accepted by council	AMG	Nov-14	As noted above the AM strategy was approved at Council Nov 16. A State of the Estate report was reported to members in monitoring the strategy and is available on the internet. The Strategy details performance measures which are used to measure progress including for example measures on energy and floor area. The AMG is the group that progresses and monitors completion of SAMPs and their cognisance of the overall Strategy	Complete	100%

FPA2015/1	Financial Position Assessment Issued May 2015	P1 The Council should ensure that its priorities and improvement objectives are explicitly taken into account when determining its savings plans	Continue to develop linkages between Council priorities and the Medium-Term Financial Plan (MTFP).	Draft savings proposals 17/18 are to be presented to Cabinet on 30/11/16. The Authority continues to adhere to the principles previously agreed. In light of Local Government Reform by the Cabinet Secretary of Local Government, the authority vision will need to be reviewed following publication of the white paper in 2017	Stephen Harris	Ongoing	2017/2018 savings totalling 9.046m were approved by council Feb 17, these followed the savings principles previously agreed. The Council has a potential savings requirement of circa 29M for the period 2018-2022. This will require review of the principles previously agreed and the new Cabinet priorities. This will be discussed in the coming months	In progress	70%
New 181A2016	Financial Resilience 2015/2016 issued April 2016	P1 The council should strengthen its financial resilience by: developing more explicit links between the Medium Term Financial Plan (MTFP) and its corporate priorities	The Acting Director of Corporate Services & Section 151 Officer will maintain a dialogue with the WAO regarding the most effective way to demonstrate a link between the MTFP and corporate priorities	Please see comment regarding draft saving proposals above in the Financial Position Assessment. The Acting Director of Corporate Services meets with the WAO every quarter to continue dialogue on a range of topics.	Stephen Harris	Ongoing	See comment above	In progress	70%
New 181A2016	Financial Resilience 2015/2016 issued April 2016	Developing a longer term MTFP with comprehensive multi-year savings plans to cover the period of the MTFP;	In February 2016 Council approved an updated Medium-Term Financial Plan covering the period 2016/17 to 2020/21	Welsh Government have indicated that an indicative 5 year Financial settlement will be provided in January 17. In light of this an updated 5 year MTFP will be presented to Council after that time.	Stephen Harris	Feb-17	17/18 Budget report was approved by Council Feb 17 and included updated 5 year MFTP with indicative savings targets of 37,835 M. Savings targets have been allocated to Heads of Service and multi year savings proposals are currently being worked up	Complete	100%
New 181A2016	Financial Resilience 2015/2016 issued April 2016	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 national WAO report has now been published. This has formed part of the Business Improvement Programme (BIP) as a specific workstream to establish and explore income generation options. Fact finding and scoping progressing with the Action Plan to be drawn up by April 2017.	Rob Hartshorn	01/04/2017 (changed) July 17	An Income Policy is being drafted and will be submitted to Members for consideration. Following an analysis of income corporately and learning from a commercialisation workshop we are considering opportunities for a pilot initiative rather than an action plan at this stage and focussing on development of an Income Policy in the meantime.	In progress	60%
181A2016	Leisure Review (May 16)	The Council needs to urgently develop and agree a vision and strategy for its sports and leisure services, and set out how it will achieve this. In doing so, the Council should ensure that: 1. there is effective involvement of, and engagement between, politicians and officers to strengthen corporate oversight of process 2. relevant expertise is involved across the Council at an early stage 3. there is a clear plan for public and stakeholder engagement 4. There are clear links to corporate plans, priorities and the MTFP 5. Options appraisals are undertaken based on robust information base, (costs, benefits, risk etc) each option is assessed. 6. Appropriate consideration is given to the impact by applying the principles of the Well-being of Future Generations Act 7. Governance and accountability mechanisms are identified to report and monitor progress in developing the vision 8. Consideration is given to capacity of the service to develop and implement an intergrated sports and leisure strategy	Following member approval the authority has engaged a consultant to: i) To establish a clear purpose for its business and other activities in Sport & Leisure. (ii) Analyse and recommend "placement" of the service into the future taking into account existing practice alongside exploring opportunities for development based on current and projected demand in the Sport & Leisure Industry. (iii) Establish a set of recommendations that is appropriate to the needs of the County Borough's communities and is affordable going forward. (iv) An assessment of the most appropriate operating model(s) for the Authority. (v) The preparation of a new, over-arching strategy, and delivery plan that:- Fully takes into account national strategies/priorities as well as local needs and issues set in the context of financial constraints; • Places the future rationale, and appropriate operational models for Sports & Leisure in Caerphilly in accord with the "direction" being supported by Welsh Government; • Delivers a bespoke approach appropriate to the needs and demands of the communities in the County Borough. (vi) To suggest next steps (eg: user engagement, etc.) that the Authority may need to take.	The WAO report has been presented to the relevant Scrutiny Committee and to Cabinet and has been accepted. The Leisure strategy is one of the projects within the authority's new business improvement programme and a BIP project team has been set up accordingly. After receiving scrutiny support and cabinet approval the authority has engaged a consultant. The appointed consultant has just completed the initial phase of work and has recently presented findings to the Chief executive, Corporate director (communities), head of community and leisure services and Head of property. The authority is now awaiting a formal report and a future menu (with costs) for bringing the "strategy" to life with various stakeholders. A progress update is scheduled for Scrutiny in February 2017.	Mark.S.Williams	May-17	Consultants report received but yet to be considered by CMT and new cabinet / council. New developments in terms of medium term financial pressures may now influence the strategic direction as well.	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.	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.		NEW to register so no previous update	Lynne Donovan	Oct-17	This report was presented and reported to Cabinet 19th October and Audit Committee 14th Dec 2016. When this proposal and response was reported the management response agreed that workforce requirements would be based on operational need. The Council will review these requirements if and when any fundamental changes to service delivery are agreed. We will keep this open until the end of the year to see if there is a need in line with any updates to the medium term financial plan. After this time we may recommend closure of the proposal.	In progress	
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.	P2 The Council should develop an assurance framework that sets out how it obtains assurance in relation to key risks from across the organisation.	To develop an assurance framework that shows how we gain assurance in relation to controlling key risks. This is shown in a diagram form to make it visually easier to show the many layers of assurances both internally and externally.		Richard Harris	Dec-16	The Council has a system and framework in place that sets out how it articulates how it will gain assurance about the effectiveness of controls. The report with the 'assurance framework' was presented to Audit Committee on 14th December 2016.	Complete	100%

<p>344A2016 (Audit year 15/16) Issued May 2016 reported August 2016</p>	<p>Review of arrangements to address external audit, inspection and regulation and proposals for improvement.</p>	<p>P3 Fully address the recommendation made in the Special Inspection and proposal for improvements relating to internal audit. a) Demonstrate more clearly how the work planned as set out in the Internal Audit Plan is linked to key risks. b) Improve the quality of working papers. c) Provide summary reports to Audit Committee highlighting the findings from the work of IA during the year. d) Ensure the IA outturn report fully reflects the work undertaken during the year and progress against planned programme of work. e) Confirm the time table for peer review of its IA service and complete the self-assessment against the Public Sector Internal Audit Standards f) Monitor the progress of undertaking the peer review of Internal Audit and consider how the outcome will be used to strengthen IA</p>	<p>a) As part of the preparatory work on formulating the annual Internal Audit Plan Directorate Risk Registers will be reviewed. A Panel will be established to undertake this review and will be chaired by the Interim Head of Corporate Finance. b) Current processes will be reviewed by Dec 2016 and the Interim Head of Corporate Finance will periodically undertake a sample check. This will be reported to the Audit Committee in the Internal Audit Outturn reports. c & d) In addition to the annual outturn report a mid-year progress report will also be presented to the Audit Committee in future. Both reports will include a summary of themes and issues arising from the audit work undertaken. e&f) actions 1.Undertake an Internal self- assessment 2. Arrange external peer review against standards 3. Develop action plan from any arising recommendations from peer review</p>	<p>NEW to register so no previous update</p>	<p>Stephen Harris & Richard Harris</p>	<p>Dec 2017 (for all actions including)</p>	<p>a) IA manager has attended directorate senior management teams to review risk registers to identify items for inclusion in audit plan. In 17/18 IA will undertake a review of the process for updating and monitoring risk. b) Working papers have been reviewed and samples have been provided to interim head of corporate finance for quality assurance. c) In addition to the annual outturn report a mid-year progress report will also be presented to the Audit Committee in future. Both reports will include a summary of themes and issues arising from the audit work undertaken d) The 2015/16 outturn report presented to the Audit Committee on the 14th September 2016 included more detail on the range of work undertaken by Internal Audit during the year. Future reports will be enhanced to include details of themes and issues arising. e&f) The outcome of the self assessment was reported and discussed at Audit Committee 14th Dec 2016. Arrangements for an external peer review have been agreed and will be undertaken summer 17. The outcome of the peer review will be reported to Audit Committee in September 2017. This will include any action plan to address any agreed recommendations for improvement.</p>	<p>In progress</p>	<p>50%</p>
<p>344A2016 (Audit year 15/16) Issued May 2016. Reported August 2016</p>	<p>Review of arrangements to address external audit, inspection and regulation and proposals for improvement.</p>	<p>P4 The Council should strengthen arrangements to enable Scrutiny to hold Cabinet to account more effectively and to take action to ensure its Cabinet Members are equipped and prepared to be held accountable for the roles they fulfill</p>	<p>The Council's new approach to its scrutiny arrangements as approved by Full Council in October 2015 requires cabinet members to provide a regular formal statement to the appropriate Scrutiny Committee, which will be published in advance of the scrutiny meeting</p>	<p>NEW to register so no previous update but completed prior to reporting</p>	<p>Gail Williams</p>		<p>Cabinet members now provide regular statements to the relevant committee so this action is complete. Further work continued in this area with a peer review and self evaluation exercise and a report is likely to come to Council late Summer 2017</p>	<p>Complete</p>	<p>100%</p>