

UPDATED 1ST SEPTEMBER 2013

Action Plan 2013 response to WAO proposals

Number of action	Original Document	WAO Proposal	Action	Progress Update September 2013	By When	Additional Information	Status
1	CA August 2010	Improving how the Council monitors and evaluates the effectiveness of partnerships to ensure they are contributing to delivery of corporate priorities		Single Integrated Plan was considered and approved by the Caerphilly LSB when it met on 17 th April, 2013 and by CCBC when it met in Full Council on 23 rd April, 2013. The building blocks for monitoring by a performance management framework are now being put in place in terms of monitoring effectiveness.	Apr-13		Outstanding
2	CA August 2010	Strengthening its risk management arrangements in light of emerging challenges;	1. Send report to CMT put in place recommendations for improvement 2) put in place more stringent checks regarding risk narrative in SIPS 3) Better communication between Risk levels and AGS. 4) New Risk Strategy 5) New Risk Guidance 6) Risk Training	A new Risk Strategy has been written with supporting guidance on how to adopt the strategy. Training will be delivered to all (members and officers) with dates and type to be determined. We have introduced a 3rd tier to risk monitoring at a Directorate level and the monitoring and communication of the Corporate Risk Register is being strengthened.	Feb-13	Risk now forms part of the Improving Governance Programme	Approaching completion
3	2010	P5 Train and support the Audit Committee to ensure the Council is discharging its statutory responsibility to have arrangements in place to secure continuous improvement in its functions.	Evidence of work programme to be sent to WAO for closure of proposal	Since the original proposal more work is taking place with regard to the members training and development programme.	Mar-13	WAO verbally agreed to close proposal on receipt of evidence which was sent in March 2013. However WAO have not yet finalised the closure and training members has now become a significant part of the Improvement Governance Programme.	Approaching completion
4	AIR Jan 2011	P3 Set appropriate measures to judge delivery of the improvement objectives that focus on how the Council performs now, what its targets are, how it compares with others, the cost of delivery and how it will show whether the people of Caerphilly are better off as a result;	Appropriate measures addressed as part of new improvement plan. (2 &3) – Publish TARGETS repeats P3&37 and Comparative data.	This has been improved as part of the publication of the New 13/14 Improvement Objectives which includes targets and costings. This will also form part of the Councils Performance Report due to be published in October 2013.	Before October 2013		Approaching completion

5	AIR Jan 2011	Establish minimum service delivery standards for all service areas	Discussed Value of proposal. CMT believe their was limited value in progressing. However the Councils Ffynnon score card does address this requirement.	Following discussion WAO agreed to close pending evidence. A range of evidence was provided (11.3.13) e.g Housing tennant and customer care standards for external standards and Ffynnon scorecards which shows we have intervention values (the point at which we must intervene if performance goes below that standard) and each service has a scorecard.	12.3.13	No change since last time, waiting for WAO to close recommendation following receipt of evidence.	Closed
6	AIR Jan 2011	P5 Set clear priorities for action in the context of reduced resources; WAO confirm this remains open as it about links to finance and IO which is picked up in other recommendations in regard to the SIP having financial assessments.	Repeated as part of action 3 and action 24. New Actions: Review and adapt the Planning Cycle. Introduce new Self-Evaluation Reviews	IO's have being costed (see above) and this has been addressed in the SIP guidance. We are changing the Planning Cycle to feed into the Medium Term Financial Plan and all planned Service Evaluation and Reviews will have cost as a criteria.	Apr-13	The aspect to costing the Improvement Objectives have been addressed and this proposal could be closed however we have now added new actions under the Improving Governance Programme so this currently remains open.	Open - progress being made
7	Corporate Assessment Update August 2011	Include information on improvement activities in areas not covered by Improvement Objectives, including planned savings and disinvestments, if these impact on services for citizens.	WAO proposal is split in 2 a) improvement activity that is not an Improvement Objective is published in October Performance report. b) planned savings and disinvestment to be better articulated in performance reporting.	This will form part of the work on the Councils Performance Reporting and this is being drafted with a view to producing this in October 30th 2013	Part a) June 2013 Part b) Oct for part		a) Closed b) remains open
8	CA August 2011	P2 The Council should: - Clearly define a plan that maps out the whole engagement exercise, including pre and post implementation. The costs and resources of engagement should be included.	A series of actions were put together by Communications and Engagement to address these recommendations.	P&R scrutiny 22/11/2012 approved a new citizen engagement strategy presented in the new year. The strategy is derived from the '10 National Principles of Engagement' with detailed action plan on what we need to do, timescales, resource implications and responsibilities. The Strategy maps our engagement exercise and development has been closely aligned with the development of the Local Service Board's engagement strategy (endorsed by the LSB on 16th January 2013).	Mar-13	This is complete in terms of the recommendation. Strategy Approved by Cabinet 9th April.	We consider this closed. Evidence provided to WAO wait closure

9	Corporate Assessment Update August 2011	Manage public expectations about outcomes from consultation, and provide appropriate levels of feedback on reasons for decisions and how engagement processes have contributed to the outcomes		Key actions within above strategy to reinstate' Caerphilly Asks, Caerphilly Listens' database and develop an implementation plan and put in place appropriate structures and training to support the system within each directorate and corporately (and with partners) as a planning tool, for co-ordinating engagement activity, avoiding duplication, share good practice and provide feedback. System is now available on the CCBC website and steps are being made to ensure that this is maintained and that clear links are made between engagement activities recorded and decision making	Mar-13	This is complete in terms of the recommendation.	We consider this closed. Evidence provided to WAO wait closure
10	Corporate Assessment Update August 2011	Undertake evaluation of engagement activity to demonstrate transparency and accountability of outcomes achieved.		Key action within strategy is to Audit and evaluate specific engagement activities against the national principles of public engagement by using the "Evaluation Toolkit", evaluating individual engagement activities that have been included on the database against the national principles	Mar-13	Process and mechanism is in place, this now moves into day to day business	We consider this closed. Evidence provided to WAO wait closure
11	Corporate Assessment Update August 2011	P3 Ensure there are robust and effective governance arrangements in place when creating integrated services and collaborations which are subject to regular evaluation of their impact.	More actions may need to be put in place to address this more fully.	This recommendation referred to the Blaneau Gwent / Caerphilly Social services collaboration which had strong governance arrangements and this was evidenced to the Wales Audit Office, along with evidence for other collaborations such as project Gwrydd.	ASAP	In terms of effective governance we believe this recommendation was addressed within the context to which it referred, however PWC have finished a piece of work on effective collaboration so more actions and recommendations may emerge from this report so it remains open at this time.	Open
12	AIR Feb 2012	P1 Improve Welsh language provision on the Council's website.	1) Translators to be appointed 2) Website to be translated 3) New Welsh content for Education 4) IT to upload new content across the summer.	Good progress made, 2 translators recruited, Web pages translated and Education section. This proposal is close to being completed.	End March 2013		Approaching completion
13	AIR Feb 2012	P2 Complete outcome-based success measures for all objectives and ensure regular, clear reporting.	This will be addressed as part of the new Council Priorities and Performance Report. This is a repeat of item 18 Jan 2011.	The Councils Improvement Objectives 2013/2014 had the best outcome measures available. We welcome input from WAO if they can identify better measures through their good practise role.	May - Oct 2013	We believe this to be closed but the judgment will be from the Councils Performance Report in October 2013. So we will keep this open until the document is published and audited.	Approaching completion

14	AIR Feb 2012	Providing citizens with more comparative performance and benchmarking data to enable them to better judge performance;	Repeats item 18 AIR Jan 2011. Although used internally comparators are questionable in adding value for citizens to accurately judge performance as there are too many variances involved. To raise whether CMT support the position for or against target and benchmarking publication	Although we question value with this recommendation we have covered comparators in greater detail within 2013 Improvement publications and believe there is now enough content and analysis to address this proposal.	Mar-13	We believe this to be closed but the judgment will be from the Councils Performance Report in October 2013. So we will keep this open until the document is published and audited.	Approaching completion
15	AIR Feb 2012	Reporting progress against targets to citizens;	Colin to raise with CMT the value of this suggestion	Although we question value with this recommendation we have included targets and reporting against those targets within 2013 Improvement publications and believe there is now enough content and analysis to address this proposal.	Oct-13	We believe this to be closed but the judgment will be from the Councils Performance Report in October 2013. So we will keep this open until the document is published and audited.	Approaching completion
16	AIR Feb 2012	Report information on unit costs, activity costs, benchmarks and other financial performance measures to enhance the Council's Performance Report as well as help to identify further opportunities for savings;	Remains open, have to articulate finance more in performance report	This is being worked on for the Councils Performance Report to include more relevant financial information. This will have to be built upon as part of future reporting.	Oct-13	As noted earlier this will be part of October document	Approaching completion
17	AIR Feb 2012	Evaluate and report on the impact of reduced budgets on frontline services to identify and deal with risks that emerge from disinvestment decisions; and	Repeats item 18 AIR Jan 2011. PWC are undertaking a review (Mar/Apr 2013) to identify and assess the impact of revenue, capital and human resource reductions on services and evaluating whether the Council is continuing to deliver its statutory obligations and improvement objectives effectively (focusing on Waste, Env Health & Housing)	Finance Managers are aware this is the position and that more financial detail will need to be covered as part of the narrative of Improvement publishing in future. We are covering this off in the October document (see above) and changing the planning cycle to fit in with the medium term financial plan, which should make the flow of financial evaluation into published reporting easier for future reporting.	Sep-13		Open
18	AIR Feb 2012	Reporting its performance to the public in a document or documents which help citizens to understand the Council's performance more easily	New plan will address this (minus the benchmarking / targets etc).	Council Objectives are published in a way that helps the citizen understand. This proposal referred to 2011 when we reported progress earlier than the required deadline, whilst we thought this would benefit the citizen by having more timely information, it appeared to make it difficult for the auditor to assess the performance, hence the suggestion. We have now reverted to the old time scales.	Oct-13	Currently working on Councils IO. Consultation closes on 24th May. We do publish in an easy to understand way so we will send WAO a draft version so their feedback can go into the final document. 19.6.13	Open

19	Appendix 2 IA October 2012	<p>There follows 4 HR proposals outstanding from previous work.</p> <p>P1 In order to support the Council's arrangements to self assess and evaluate performance, it should develop an HR balanced scorecard to track HR performance against key metrics, for example, HR costs, service performance, client</p>	PMU with HR to review scorecard making appropriate amends	HR card reviewed by PMU with completion date for relaunch quarter 1 (13/14). Researched New HR PIs, awaiting agreement to proceed.	May 2013 to be agreed by DMT before P&R scrutiny July 2013	Head of HR provided an update with action plan to Audit Committee (14th May) on progress against these 4 proposals. This will now part of the Improvement Governance Programme monitoring	Open
20	Appendix 2 IA 1 October 2012	<p>P2 In order to support the Council's workforce planning arrangements it should consistently use the outputs from the Performance Development Review process to develop robust training and development plans to address current and future skill needs</p>	Work force planning is being developed but the service is not using the SIP as the tool for delivery as per email from Service 21.2.13	Service concerned about this proposal. Whilst creator of the PDR scheme HR are not the owners of it and cannot enforce its use or otherwise. Also, there is no corporate training team/budget so they don't feel this proposal is achievable corporately. Given that all current training budgets/plans and requirements are devolved to individual services there is a view that we cannot achieve or move forward on this proposal. Further clarification from WAO is needed to fully understand what they expect from HR, given that HR are not in control of this aspect at the moment.	Apr-13	Head of HR provided an update with action plan to Audit Committee (14th May) on progress against these 4 proposals. This will now part of the Improvement Governance Programme monitoring	Open
21	Appendix 2 IA 1 October 2012	<p>P3 The Council should produce a clearly documented HR strategy and plan that:</p> <ul style="list-style-type: none"> - includes the role of line managers and explain/articulate how HR will support the organisation in the delivery of its People Strategy in the future; and - provides a clear strategic line of sight through the People Strategy to the stated improvement objectives of the Council and demonstrate where and how value is delivered. 	The value of this proposal has been challenged by the service as this information exists in different policies, never the less the service are documenting an HR strategy	Progress is being made and HR hope to have a document drafted by end of Q1 13/14. May 13 update - the completion of a HR strategy has been included in the Service area's SIP for 13/14 as an action	Jul-13	Head of HR provided an update with action plan for the Audit Committee (14th May) on progress against these proposals. We have no further update at this time.	Open

22	Appendix 2 IA 1 October 2012	P4 Implement an integrated approach to workforce planning aligned to service, financial and workforce targets	Timescale for implementation (by Autumn 13) Q4 12/13 and Q1 13/14 – Consultation and Preparing template in readiness for an implementation Q2 13/14 – Communication to Hos's network and training/support Q3 13/14 – Completion/return of templates	1st Progress Update has identified the following time scales for implementing workforce planning process. May 13 update - a draft template has been completed. (extract from 13/14 HR SIP is on LH email) Consultation exercise to begin at end of May 13. This is also an action in the 13/14 HR SIP, and progress will also be monitored in this way	Jan-14	Head of HR provided an update with action plan to Audit Committee (14th May) on progress against these 4 proposals. This will now part of the Improvement Governance Programme monitoring	Open
23	IA 1 October 2012	P1 The Council should ensure that the scope of its consultation activities, in relation to the development of its annual Improvement Objectives, engages the broad range of stakeholders as defined within the Measure and guidance.	To design RELEVANT none wasteful consultation within time frames	A Consultation plan was put together to commence after the Single Plan consultation closes on 22nd March. Consultation will be webbased but signposted in Mays Newslines going to 70,000+ households and via the social media. Paper surveys were also made available via the Authority's Public Libraries, to ensure inclusivity and on request from Newslines advert and were available in Welsh. The consultation results were reported to Cabinet and online.	Apr-13		We consider this closed. Evidence provided to WAO wait closure
24	IA 1 October 2012	P2 All relevant Service Improvement Plans (SIPs) focus on delivering the Council's Improvement Objectives and have clear links to them and include actions that contribute to their delivery	1. Guidelines sent to Heads of Service 2. Critique Plans when received 3. Escalate any none compliance	This action is complete, Each Improvement Objectives is linked to its relevant SIP and separate Action Plans have been developed and are being put on Ffynnon.	Jun-13		We consider this closed. Evidence provided to WAO wait closure

25	IA 1 October 2012	P2 Formal annual financial assessments of its Improvement Objectives are included within all relevant SIPs to ensure that resources are clearly aligned to priorities;	1. Guidelines sent to Heads of Service 2. Critque Plans when received 3. Escalate any none compliance 4) Introduction of Self-Evaluation to include costings as part of the evaluation.	At present, there is no formal mechanism in place to report 'detailed financial assessments' as budgets/cost accounts are not set up specifically for each individual Council Priority or Improvement Objective. The logistics of this are complex and very costly and will not add any value to the way business is managed. However, a general subjective assessment could be included in the SIP's of the impact on normal service budgets/funding sources. And this will form part of our developing self-evaluation process.	Jun-13	Finanical assessment work has taken place with Finance managers to cost the IO's and we are now moving this work into part of the self evaluation work.	Open
26	AIR October 2012	P2 Equality impact assessments are consistently and robustly undertaken for all SIPs when these are being developed; and	1. Guidelines sent to Heads of Service 2. Critque Plans when received 3. Escalate any none compliance	System and process well embedded for this to happen and all services do include Equality assessments. All 13/14 SIPs have been assessed.	Jun-13	All SIPS have been sent to Equalities Officer for feedback and all services have recieved feedback. CCBC has a statutory requirement to report to the Equalities and Human Rights commission and evidence our contribution. The Equalities Officer has written a report analysing the quality of 13/14 SIPS to evidence this and this can be provided to the WAO to show the completion of this action.	We consider this closed. Evidence provided to WAO wait closure
27	Appendix 2 IA 1 October 2012	P2 Workforce planning is embedded in service improvement planning and is reflected in all SIPs	HR feel this should not be part of SIP see item 44	1) WFP may identify individuals within succession and skills planning which is not appropriate for the SIP as a wider or operational document. 2) It is not timely for the SIP, WFP would happen before the SIP so resources for delivery would be known. May 13 update - see entry for P4 above		Work force planning is being taken forward (not as part of the SIP as that is not appropriate - see previous comment). This will now also form part of the information governance board	Open

28	IA 1 October 2012	<p>P3 The Council should consistently report and monitor progress on addressing all regulator and inspectorate proposals for improvement and recommendations, including those contained in our Corporate Assessment Letters, Annual Improvement Report and service-based reviews, to the appropriate committees to enable officers and members alike to monitor, scrutinise, and drive the pace of progress.</p>	<p>Set up process for reporting, monitoring, acting on and challenging WAO reports within the member framework. 1) CJ Check procedure with DMT 2) take to CMT 3) set dates with Scrutiny 4) cover in Audit training and share with members procedure 5) evaluate its effectiveness</p>	<p>1. Completed. 2) taken to CMT for approval, agreed to pilot for the year 3). Draft report template set up to progress proposals of regulator reports. 4) First IA2 taken to Audit committee March 9th under new system.</p>	May-13	<p>This is being addressed through the new process and covering report and within the larger wider governance work that is going on</p>	Open
29	IA 1 October 2012	<p>P4 The Council should address the proposals for improvement made relating to our feedback report on HR (July 2012) (see Appendix 2).</p>	Repeats 41-44	See previous update		<p>See Update above on HR recommendations now being monitored by Improvement Governance Board.</p>	Open repeats previous recommendations
30	IA 1 October 2012	<p>The Improvement Assessment Oct 2012 (page 2) notes that the constitution is 'significantly' out of date on the Website.</p>		<p>The Constitution is amended as and when required. We are working with other authorities across Wales to create a common Constitution across Wales. It is already up and running in England, it is hoped that it will be finalised in Wales in the summer. We were hoping it would be ready for this year's AGM, but that looks unlikely. The review of the Constitution now forms part of the Improving Governance Action Plan. Following the Council meeting in June of this year a cross party working group of members has been set up to undertake a thorough review of the current document, The review will be based on the framework document prepared by external lawyers in conjunction with the LGG (formerly Acses) and the WLGA</p>	Apr-13	<p>Review of the constitution is now part of the Improving Governance Programme. A detailed briefing note has been prepared and circulated to members and the first meeting is scheduled 11th September 2013.</p>	Open

31	1A2 Dec 2012	P1 The Council should ensure that it acts more in accordance with Welsh Government guidance by:					
32	1A2 Dec 2012	* using a wider evidence base of information to enable it to assess whether it has met its improvement objectives	Will be addressed in new plan	There is not always a wide base of evidence available but will be picked up with the new objectives	Sep-13	This will be looked at and reviewed for the backward looking report published in October 2013	Approaching completion
33	1A2 Dec 2012	* extending the use of comparative information, including comparison with other bodies	Action: Will be addressed where possible as part of new plan		Sep-13	This will be part of the backward looking report which is published in October 2013	Approaching completion
34	1A2 Dec 2012	* reporting its performance in a more balanced way	Will be addressed in new plan, however need to make CMT, Leadership & Cabinet aware this is a legal requirement.	New Plan being finalised now	Sep-13	This will be part of the backward looking report published in October 2013	Approaching completion
35	1A2 Dec 2012	* maximising accessibility to citizens and stakeholders of its performance assessment	Cost distribution costs for a wider audience. Look for innovative ways to make accessible. Possible Use of Mosaic to research communication preferences.	May 13 update - currently undertaking public consultation for 13/14 IO's. This involved on-line surveys via the authority's website, which were signposted via Newslines and social media. Paper surveys were also made available via the Authority's Public Libraries, to ensure inclusivity and on request from Newslines advert.	Nov-13	This will be part of the backward looking report published in October 2013	Approaching completion
36	1A2 Dec 2012	P2 Better engage and strengthen scrutiny to improve self-evaluation arrangements and to inform the councils overall evaluation of progress against its improvement objectives		Progress to date, consideration of moving from 2 individual PM scrutines to using more frequent scrutiny to give greater reporting opportunities. We are also reviewing and revising the planning cycle to include a self-evaluation process.	Jun-13	All Improvement Objectives have been reviewed at Scrutiny for 2013 where scrutiny has challenged each conclusion as to whether an objective was successful or not	Open

37	1A2 Dec 2012	P3 Establish and report against outcome-focussed measures of success for each improvement objective	Include in new performance report 2013 onwards	Will be looked at as part of new performance report 2013 onwards	May-13	We will rigorously set outcome measures where possible but the WLGA / WAO outcome review recognises the difficulty of setting measures for complex and intangible outcomes so emphasis may change for this proposal.	Approaching completion
38	1A2 Dec 2012	P4 Assist readers to understand and interpret performance indicators by including narrative explanations and also indicating if a high value is a good or poor performance	Include in new performance report by including narrative and indications if high value is good or poor.	Will be looked at as part of new performance report 2013 onwards. PMU attended CIPFA training on how best to present data from the readers point of view.	Oct-13		We consider this complete.
39	1A2 Dec 2012	P5 Ensure all services have effective arrangements to evaluate and improve performance which are consistently reported against agreed council targets and are subject to robust scrutiny and challenge	This proposal is about 'self-assessment'. A Gap analysis will be held to identify the components of self-assessment and session booked with WLGA consultant (free of charge) to critique our self-assessment process and identify areas for improvement. It is likely though any further action to improve will be council wide rather than with PMU and needs to include Education and Social Services.	Initial scoping meeting took place with WLGA starting at the SIP process. Further meeting held 24th May to take this forward. WLGA consultant presented paper to CMT to explain position. Work is now progressing on Self-Evaluation.	Feb - check IA2. March Action plan Oct 13 Implement		Open