

Action Plan 2016 Response to Regulator Proposals

Number and reference of action	Original Document	Regulator Proposal	Action	Previous Update May 2016	Service Officer Responsible	By When	Update Nov 2016	Status	Percentage completed	Result from Dec 16 Audit committee
32	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> 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.  This is one of the projects sponsored and monitored by the Business Improvement Board	Dave Tittley Customer Services	Report to P&R Scrutiny Committee in March 2014 explaining delayed till June.	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	In progress	50%	
33	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> 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.  This is one of the projects sponsored and monitored by the Business Improvement Board.  It is not yet clear how the Strategy will link to Service Plans	Dave Tittley Customer Services	Report to P&R Scrutiny Committee in March delayed till June 2014.	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	In progress	50%	
34	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> 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.	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.  The performance measures and the mechanism for reporting to the Council have not yet been agreed.	Dave Tittley Customer Services	Report to P&R Scrutiny Committee in March delayed till June 2014.	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.  The performance measures and the mechanism for reporting to the Council have not yet been agreed.  The % completion has been reviewed based on timescales and indicative workload in the draft Customer Service Strategy implementation plan	In progress	50%	
35	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. Including customer services' performance measures in the Council's corporate performance reporting arrangements and ensuring they are subject to effective self-evaluation, challenge and scrutiny.	Review customer service standards then develop suite of performance managers based on the objectives of the strategy 10 links to 12	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.  Arrangements for monitoring performance still require clarification as responsibility for delivering the strategy has moved from CITSG to the Business Improvement Board.	Dave Tittley Customer Services	Sept 14 (to go into performance report Oct 14)	The new customer service strategy has been approved by Cabinet and is published on the intranet. The strategy is being implemented by a Project Team, managed by the Head of Procurement. one of the projects sponsored and monitored by the Business Improvement Board. Performance is measured and reported via the Ffynnon scorecard to senior management team, corporate management team and the relevant cabinet member. The Head of Service meets with the Cabinet Member responsible for the Customer Service in their meetings to discuss performance data. Arrangements are in place and we suggest this recommendation is now closed down.	Complete	100%	Recommend Closure.
37	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the lead Cabinet Member for customer services has clearly documented responsibilities and is provided with regular performance information.	Proposal to set up Customer Services Customer service programme board with cabinet member as lead.	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.  The role of the Cabinet Member still needs to be clarified as do mechanisms to ensure that they are provided with regular performance information.	Dave Tittley Customer Services	Nov-14	The Cabinet Member for Customer Service meets routinely to discuss performance and performance information. Cabinet Members have PDR which relate to their role and responsibilities. This aspect has been strengthened since the Scrutiny Review in the summer. Each Service in Corporate Services meets with their Cabinet Member to discuss. We consider this to be complete now as this is routine business.	Complete	100%	Recommend Closure.
39	Customer Services Review (August 2013)	<b>P2: Information and data.</b> 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 Ffynnon CMT scorecard	Now that the strategy has been agreed work can commence on reviewing customer service standards and performance measures.	Dave Tittley	Nov-14	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	In progress	40%	

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42	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should set out a vision for each type of asset that shows how it contributes to the delivery of the Council's priorities. The strategy should describe an overall plan for implementing the Strategy. The strategy should be approved by members.	Further develop the existing draft strategy	Although clear explanations for not proceeding were given and accepted by P & R Scrutiny, Audit Committee were not comfortable to close this proposal as discussed in Dec 16 meeting, Following Committee, Corporate Director and Head of Property met with the Auditors and agreed to develop an Asset Management Strategy using a suggested good practise model as a reference document. The strategy is being developed and a "first draft" is almost complete. It is at the stage of consulting with the Corporate Asset Management Group before going into the member arena for their approval. The current Asset Management Strategy (Land & Buildings) will be reviewed and amended as appropriate to ensure it aligns with the Corporate Asset. The current Land & Buildings Strategy compares well with the draft Corporate AMP and is likely to require further improvement. Management Strategy	Colin Jones (RCJ)	Apr-14	A draft Corporate Asset Management Strategy has been presented to both P & R Scrutiny (4th October 2016) and Cabinet (19th October 2016) and was Council endorsed the Strategy at its meeting on 22nd November 2016.	Complete	100%	Recommended for closure
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)	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	Colin Jones	Jan-Mar '14	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?".	Partially Complete, further service discussions to be held.	50%	
48	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P4:</b> Develop and implement arrangements to monitor the delivery of the strategy.	Agenda updates on progress to Asset Management Group (AMG)	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	AMG	Nov-14	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	In progress	70%	
FPA2015/1	Financial Position Assessment Issued May 2015	<b>P1</b> 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).	In developing the draft savings proposals for 2016/17 the Council has agreed a number of core principles, one of which is to focus on priorities. The Corporate Plan includes details of the resources available to support each Improvement Objective. CMT is currently working with Heads of Service to develop a "Future Vision & Direction" document. This will need to consider the financial resources available.	Stephen Harris	Ongoing	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	In progress	80%	
WAO follow up inspection to the Corporate Governance inspection	Improving Governance-transferred from the Improving Governance Action Plan Oct 2015	<b>P8</b> The Council should prioritise the development of a HR Strategy and Workforce Plan. These should form key elements of the Council's strategic planning framework.	Develop a relevant HR strategy	Draft HR Strategy document discussed at CMT on 15/10/2015 and has been circulated to HR Strategy Group for comments. This will now be subject to wider consultation	Lynne Donovan	Jan-15	The HR strategy went to P&R scrutiny 12th July 2016 and was unanimously endorsed. The document was agreed at Cabinet on 27th July 2016 and will be reviewed 12 months after implementation to ensure that it is current and fit for purpose.	Complete	100%	Recommend for closure
New 181A2016	Financial Resilience 2015/2016 issued April 2016	<b>P1</b> 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	New as at April 2016	Stephen Harris	Ongoing	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.	In progress	50%	
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	New as at April 2016	Stephen Harris	Feb-17	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.	In Progress	80%	

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New 181A2016	Financial Resilience 2015/2016 issued April 2016	Continuing to develop a more strategic asset management plan which is aligned to its MTFP;	Asset management will continue to be dealt with through the Corporate Asset Management Group.	New as at April 2016 - See Action referenced 45. An Asset Management Strategy is due to be discussed at P&R Scrutiny in October 2016	Stephen Harris & Colin Jones		The Asset Management Strategy is aligned to the MTFP. For example the Building Maintenance Budget has now been centralised into Property Management and this has resulted in more efficient use of our buildings. The 'State of the Estate' Report was presented to Council in June and members approved future publications. Capital finding has been identified in the Capital Strategy Funding Programme as part of the MTFP. We recommend this proposal be closed as it has moved into day to day management and will be monitored by the Asset Management Group as referred to above.	Complete	100%	
New 181A2016	Financial Resilience 2015/2016 issued April 2016	Reporting 'Whole Council' financial and savings progress reports to Members on a regular basis;	A 2016/17 'Whole-Authority' mid-year budget monitoring report will be presented to Cabinet outlining projected expenditure for the year and details of progress in achieving savings targets.	New as at April 2016	Stephen Harris	Dec-16	A mid year (16/17) revenue budget monitoring report was presented to Cabinet 16th Nov 2016	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".	New as at April 2016. WAO are scheduled to produce their National approach to income generation and charging July 2016	Rob Hartshorn	Apr-17	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.	In progress	50%	
New 181A2016	Leisure Review	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 integrated 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.	New at time of May update	Mark.S.Williams	May-17	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.	In progress	50%	
New - AF11	CSSIW Annual review 14-15 (AIR 15/16)	The Council is aware that there is a need to progress the joint commissioning of service for older people and this should be prioritised with health partners	We are refocusing our efforts on a regional approach so will not be talking this forward as an individual body. See progress update column	N/A - New	J. Williams & D. Street	Nov-16	The Council progress joint commissioning of services for older people with health partners was recommended however we will be refocusing this objective to a regional approach with health and other Local Authorities. This is far more sensible approach because of the establishment of a pan Gwent commissioning group, which links to the national commissioning group, and we are at the stage of prioritising the work plan of this group we have advised CSSIW of this therefore we recommend this proposal is closed.	Recommend closed as moving to regional working	100%	Recommend Closing as being taken forward in a regional capacity. CSSIW notified of closure of this suggestion
New - AF12	CSSIW Annual review 14-15 (AIR 15/16)	Ensure the new quality assurance framework reflects methods of monitoring progress of the childrens strategy	The new QA Framework will be piloted within Children's Services before being adopted by the Directorate.	N/A - New	Gareth Jenkins	Ongoing	Thematic Audits have been undertaken including: Quality of Care Planning, IAA Screening Checks, Cancelled/Declined Assessments and annual Supervision File Audits. Framework now needs to be considered in Adults Services.	Complete	100%	Recommend for closure

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New AF13	CSSIW Annual review 14-15 (AIR 15/16)	Corporate parenting board to demonstrate clear methods for consulting with children and young people	Ensure the views of Looked After Children and young people are represented at the Board.	N/A - New	Gareth Jenkins	Complete	2 young people now attend the Corporate Parenting Board and raise issues pertaining to LAC and Care Leavers. Dedicated time allocated on the agenda to hear from the young people. The Chair of the Board has periodic meetings with the 'Shout Out' Group which is a forum for all LAC and Care Leavers. NYAS, the commissioned independent Advocacy Service for LAC are members of the Board and routinely represent the views of LAC and Care Leavers	Complete	100%	Recommend for closure