

Action Plan 2017 Response to Regulator Proposals

Number and reference of action	Original Document	Regulator Proposal	Action	Previous Update May 2017	Service Officer Responsible	When will be completed by	Update DEC 2017	Status	Percentage completed
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 Ffynnon CMT scorecard	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 Ffynnon. 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	Liz Lucas Head of Customer Services	Nov-14	Action complete. Service standards were launched 4th December 2018 and signage is in place. Standards have been widely communicated and promoted to all staff, including the use of easy to remember handouts. Internal surveys have been issued and returned. The results are currently being evaluated and will support the Service improvement plan going forward. External Customer surveys to be issued early January 2018. Key Performance Indicators are being reported on as business as usual via corporate scorecard	Complete	100%
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 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 SAAMPS (where required) will be monitored at the Asset Management Group and good progress is being made in this area.	Mark Williams	Jan-Mar '14 (change of completion date to March 2018 due to number of reviews that affect the outcome)	Meetings have been held with all relevant service areas and in all cases production of Service Area AMPs has commenced. We have received background information from some service areas and all have been asked to work towards completion of a draft SAAMP by the end of March 2018.	In progress	75%
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).	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	Stephen Harris	Ongoing	The Interim Head of Corporate Finance is in the process of reviewing the savings principles of Cabinet and there is ongoing work to establish a process that better links the Well-being Objectives and the MTFP. For the last three years the Well-being Objectives (WBO) have had a section in the publication explaining how we would fund the Objectives, and this has to be aligned to the finance available. Meetings between Performance and Finance take place to ensure this is the case. Processes exist but both aspects ran at different times within the cycles of planning. The legal date for publishing the WBO has changed and now coincides with the same date as the MTFP, so from this year they will fall into the same timeframe of co-production. This will make it easier to finalise an effective process.	In progress	75%
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	This proposal was made at the time of having a set of 4 year corporate priorities. They ran from 2013-2017 and have now ended, as such this proposal should now be closed down. We understand however the this proposal in the wider context is about matching resources to priorities and visa versa so will continue this work as part of the proposal above.	Closed	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".	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.	Rob Hartshorn	01/04/2017 (changed) July 17	The drafting of an Income Policy has been completed and is due to be presented to Corporate Management Team. It will then be finalised by the end of April 2018. Benefits and outcomes from the policy should be monitored for effectiveness.	In progress	70%

181A2016	Leisure Review (May 16)	<p>R1 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:</p> <ol style="list-style-type: none"> 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 	<p>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 (e.g.: user engagement, etc.) that the Authority may need to take.</p>	<p>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.</p>	Mark.S.Williams	May-17	<p>Recent developments in terms of MTFP and the Pontllanfraith leisure centre site have brought new influences. Officers have now drafted (August 2017) a succinct, "easy to read" strategy document which will need to be considered by CMT in early 2018 (once the new structure of CMT is finalised) prior to progressing through the various political and consultative stages before being considered for adoption by the council.</p>	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.	<p>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.</p>		<p>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.</p>	Lynne Donovan	Oct-17	<p>Cabinet and Corporate Management Team have been working on their vision for the Authority with specific pledges that will allow them to be held to account in taking the organisation forward. The results have informed a draft report that is being presented to a Policy Development Meeting January 2018. Additionally the Medium Term Financial Plan will go to Cabinet in February. Workforce planning is not carried out in isolation and needs to support and be part of delivering a vision and support financial implications. These key activities need to happen in order to develop a workforce plan. Workforce planning is already carried out when any significant service changes occur but we believe we should keep this proposal open while the vision and budget is being finalised.</p>	In progress	40%
344A2016 (Audit year 15/16) Issued May 2016 reported August 2016	Review of arrangements to address external audit, inspection and regulation and proposals for improvement.	<p>P3 Fully address the recommendation made in the Special Inspection and proposal for improvements relating to internal audit.</p> <ol style="list-style-type: none"> 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>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.</p> <p>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.</p> <p>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.</p> <p>e&f) actions</p> <ol style="list-style-type: none"> 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>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.</p> <p>b) Working papers have been reviewed and samples have been provided to interim head of corporate finance for quality assurance.</p> <p>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</p> <p>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.</p> <p>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>	Stephen Harris & Richard Harris	Dec 2017 (for all actions including)	<p>The outstanding area from the last report was actions e and f. We are pleased to report that the External Peer Review was completed December 17 and the draft report was received middle of January 2018. There were no emerging issues identified and an update of the draft Peer Review outcomes will be presented to Audit Committee 30th January 2018. Now all actions have been completed and the processes moves into day to day business we believe this proposal has now been addressed and should be closed down.</p>	Complete	100%

118A2017 - (issued Feb 2017) deferred due to election until June	Good governance when determining significant service changes. Presented Cabinet 5th July	P1 Introducing a more systematic and transparent arrangement for monitoring the impact of service changes	As part of the Council Report in February each year to establish a balanced budget for the next financial year an Appendix will be attached to this report listing all the service changes due to take place in the next financial year. This Appendix will include a description of the service, estimated date for implementation of changes and the relevant responsible Senior Officer and Cabinet Member. This list will be reviewed half yearly in the first instance by Corporate Management Team, followed by a report to Cabinet during the Autumn of each year as part of the mid-year budget monitoring report. This report will provide a commentary on any adverse impacts not originally envisaged/reported with actions where possible to address or mitigate these variations	NEW	Stephen Harris	Feb-18	The agreed action is to be incorporated into the 2018/19 budget. The Report will be presented to Cabinet in February and Council in March and there will be an update mid year that shows the monitoring of impact. As this has not yet been presented to Cabinet we would suggest keeping this proposal open until the mid year after which monitoring impact of service changes becomes standard practise.	In progress	80%
118A2017 - (issued Feb 2017) deferred due to election until June	Good governance when determining significant service changes. Presented Cabinet 5th July	P2 More clearly setting out in reports how feedback from engagement and consultation has been taken account of in developing proposals for service change	Final reports to Cabinet/Council in respect of proposals for service change will describe in the relevant section titled "Consultations" how any consultation or engagement has influenced/changed the final proposal.	NEW	Stephen Harris	Mar-18	All Report templates require the author to describe how consultations and engagement have informed any decisions or recommendations. The 2018/19 Budget will include detailed feedback on the consultation process and outcomes in relation to draft savings proposals. This will be standard practise for Budget reporting. Once the Budget Report has been presented to Council we would suggest this proposal is completed.	In progress	80%
654A2016 (issued March deferred due to election until June)	Savings planning (Financial Resilience Presented Cabinet 5th July 2017)	P1. Strengthen financial planning arrangements by ensuring that savings plans are underpinned by robust business cases	1 Develop a new template to capture detailed information on future savings proposals. The template will include consideration of the Well-being of Future Generations (Wales) Act 2015 to further develop links between the MTFP & Council Priorities an objectives. 2. Guidance notes to be produced to help managers understand why and how to complete.	NEW	Stephen Harris	Oct - Dec 18	Detailed templates have been developed to ensure that all savings proposals that have a public impact are subject to detailed assessment. The Template is being piloted within the Communities Directorate in relation to 2018/19 draft savings proposals and will be evaluated and then rolled out to the rest of the Council for the 2019/20 budget process. Guidance notes have been produced and distributed.	In progress	50%
New WAO ref 365A2017	Welsh Housing Quality Standard Issued June 2017 Presented Cabinet 1st Nov 2017	R1 The Council Should take urgent action to achieve WHQS by 2020. It should: By Sept 2017 develop a comprehensive, overarching financial and operational programme setting out how the council will achieve WHQs by 2020. To include - - Full scope of investment needed in the housing stock based on accurate, comprehensive up to date condition information	1. Write a detailed ' Response Action Plan ' to address each of the WAO recommendations (R1, R2, R3) and submit a report to Cabinet by November 2017.	NEW	Shaun Couzens	There is an established WHQS programme already in place, which is periodically updated as and when the latest intelligence informs of necessary changes. WAO Response Action Plan Report to Cabinet November 2017.	<ul style="list-style-type: none"> A detailed 'Response Action Plan' was presented to Cabinet on 01/11/17 highlighting a number of key actions already being delivered plus further actions that need to be considered in order to address each of the WAO recommendations (R1, R2, R3). The 'Response Action Plan' will be periodically monitored for progress by the; <ul style="list-style-type: none"> - Caerphilly Homes Task Group (CHTG) - Cross Party Working Group (CPWG) 	Action Plan Completed. Work against actions - in progress	<ul style="list-style-type: none"> 100% 58% (17/29)
New WAO ref 365A2017	Welsh Housing Quality Standard Issued June 2017 Presented Cabinet 1st Nov 2017	R1 Set out by March 2018 how we will - - Review its procurement arrangements to ensure value for money. - Provide clear information to members and tenants about the current position of the programme and a commitment to stakeholders with accurate projected completion dates - Secure the resources needed to deliver the programme by 2020 - Contain clear and measurable milestones and relevant performance measures for delivering the programme - Set out the programme management, governance and accountability responsibilities an arrangements so that urgent remedial action can be taken if further slippage occurs and those tasked with delivering programme can be held to account	2.Establish 'Cross Party Working Group' to consider, review, monitor progress and respond to WAO recommendations. 3.Set up timetable/schedule for WHQS/Housing Services to periodically report response, progress and achievements against each of the WAO recommendations to the Cross Party Working Group. 4.Establish feedback mechanism for WHQS/Housing Services (through the Cross Party Working Group), to maintain follow up dialogue with WAO (regulators). 5.Consider the impact of information sharing /progress reporting to other established WHQS performance framework reporting groups (refer to WHQS Governance & Performance Framework flowchart). 6.Secure improved information sharing in order to deliver an appropriate and timely phased response against each of the WAO recommendations and any follow up dialogue between interested parties. 7.Establish a 'Strategic Scorecard' to report 'achievements made' against stock condition improvements.	NEW	Shaun Couzens	Work against each of the recommendations will be ongoing throughout the life of the WHQS programme. Officers to share briefings and updates to members of the CPWG committee on progress against each of the specific recommendations and to respond to any questions/challenges that may follow - R1 due November 2017.	<ul style="list-style-type: none"> 'Cross Party Working Group' (CPWG) established Oct 2017. 1st CPWG meeting held on 05/11/17 to receive a report and presentation from WHQS/Housing and Procurement Services in response to the WAO R1. 2nd CPWG meeting proposed for 11/01/18 to consider WAO R2. 3rd CPWG meeting proposed for 29/01/18 to consider WAO R3 WHQS/Housing Services currently reviewing, with support from The Performance Management Unit (PMU), data collections and information management, in order to secure improved informative performance reporting. At present, our WHQS Governance & Performance Framework, shows that the WHQS programme, potentially reports to 11 key groups, namely: <ul style="list-style-type: none"> - Repair & Improvement Working Group (RIWG) - Caerphilly Homes Project Board (CHPB) - Caerphilly Homes Task Group (CHTG) - Policy & Resource Scrutiny Committee - Cabinet / CMT - SMT - Environment & Regeneration Scrutiny 	In progress	<ul style="list-style-type: none"> 2. 100% 3. 100% 4. 33% 5. 100% 6. 33% 7. 100%

New WAO ref 365A2017	Welsh Housing Quality Standard Issued June 2017 Presented Cabinet 1st Nov 2017	R2 Assure itself that it is meeting its statutory landlord responsibilities by ensuring that: - All properties have a valid gas safety certificate in place, or are having the Councils non-compliance arrangements applied to them fully - Arrangements for undertaking asbestos surveys and recording the results of these surveys are robust		NEW	Shaun Couzens	As above - R2 briefing due January 2018.	- Welsh Government (Annual Returns) - CCBC Regulators (WAO) - Public - Social Media/Newsline/Newsletter - Cross Party Working Group	Several key actions to address this recommendation were completed by Dec 2017.	80%
New WAO ref 365A2017	Welsh Housing Quality Standard Issued June 2017 Presented Cabinet 1st Nov 2017	R3 Ensure it has sufficient project management capacity to deliver the Councils WHQS programme effectively by 2020	See above (R1)	NEW	Shaun Couzens	As above - R3 briefing due January 2018		In progress	