

Action Plan 2018 Response to Regulator Proposals

Number and reference of action	Original Document	Regulator Proposal	Action	Previous Update July 2018	Service Officer Responsible	When will be completed by	Update January 2019	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	A detailed survey of customers visiting the customer service centres was completed in March 2018. The process is complete and we now need to build on the findings. Responses to customer e-mails include a link to an online customer survey where customers can leave their comments. A formal survey of customers who call the Contact Centre has not yet been carried out for this year. However, recordings of phone calls are being sampled to gauge customer satisfaction, we are looking at technology to automate the collection of customer feedback, and we are carefully analysing call handling data to gauge customer preferences	Liz Lucas Head of Customer Services	Nov-14	Action 1 and 4 were closed a year ago. Action 2 - January 2019 the Authority started the journey to digitally transform customer services across the Authority and customer feedback will be a key element of the service development. This will move into day to day operations. Action 3 continues as part of our cross cutting review of how we manage customer contact and will be engaging with external customers across the authority. The Head of Customer Services attended the July Audit committee to update members and answer any questions. We now believe this 'proposal' should be closed as the activities continue to move on as part of day to day management.	30 Jan 18 - Service Recommended Completed Audit Committee decided to keep open & requested head of CS come and present progress . 29th Jan 19 - Recommend Closure	Change from 95% to 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)	An Asset Management Coordinator (AMC) has been appointed on a two year contract and will commence duties in August 2018. The AMC will work with and assist service area teams in developing Service Area Asset Management Plans. The Draft Sport and Active Recreation Strategy was published in June 2018 for	Mark Williams	Jan-Mar '14 (change of completion date to March 2018 due to number of reviews that affect the outcome). Date changed to March 2020 see update	The Asset Management Coordinator is liaising with individual services to aid in the completion of service strategies. By completing service strategies, the AMC can clearly understand the service property requirements for the short, medium and long term to aid in the completion of the asset management plans. AMC has currently liaised with Property Services, Countryside, Social Services, Infrastructure, Adult Education and Youth Services	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).	The 'Corporate Plan & Well-being Objectives 2018 - 2023' was approved by Council on the 17th April 2018. This Plan includes details of Cabinet commitments and revised MTFP savings principles. These will now be incorporated into the process of developing savings proposals from the 2019/20 financial year onwards.	Stephen Harris	Ongoing	The Corporate Management Team (CMT) is currently working with the Cabinet to establish a vision for "Caerphilly 2022". This will determine the Council's direction of travel in the context of the significant financial challenges that we continue to face. As part of this process there will be close alignment between the Council's priorities and the Medium-Term Financial Plan (MTFP). The Future Generations Act specifically requires the Well-being objectives publication to explain how the objective will be resourced and that is detailed in the Corporate Plan 2018-2023	In progress	90%
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 drafting of an Income Generation Policy has 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. This will be considered by the Business Improvement Portfolio (BIP) Board during 2018/19.	Stephen Harris	01/04/2017 (changed) July 17	As part of the work currently underway in relation to "Caerphilly 2022", a Commercial Strategy is being drafted for Cabinet consideration. This Strategy will replace the Income Generation Policy that was previously drafted. It is anticipated that the Commercial Strategy will be presented to Cabinet for approval by the end of May 2018.	In progress	75%
181A2016	Leisure Review (May 16)	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: 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	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	A 10 year Sport & Active Recreation Strategy has been drafted. This was considered by Regeneration & Environment Scrutiny on 26th June 2018, and then Cabinet on 27th June 2018. Approval will be sought for a public consultation process to start on the 16th July following a Member Seminar scheduled for 9th July 2018.	R.Hartshorn	Previously May 2017, changed to Oct 2018	Following a 10 week public consultation exercise an updated draft Sport and Active Recreation Strategy 2019-29 was endorsed by a special meeting of Regeneration and Environment Scrutiny Committee on 8th November 2018. The Sport and Active Recreation Strategy 2019-29 was approved by Cabinet on 14th November 2018. The Strategy sets out a future purpose and direction for the provision of sport and active recreation in Caerphilly County Borough - it establishes the key principles and vision which will inform future decisions and actions. The Strategy adopts Welsh Government and Sport Wales 'Facilities for Future Generations' blueprint for Sport and Active Recreation together with a decision making matrix for determining the provision of strategic leisure facilities.	Recommended for closure	100%
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.	Develop Staff Vision and Values to complement Cabinet Commitments. Research and Develop a holistic organisational development plan, that includes age profiling, re-skilling and potential apprenticeships. This would include supporting agile working policy and practise.	Cabinet Commitments have been launched and widely promoted. Workforce vision and values are being developed to complement this. However we are in a different place since this proposal was made and we need to ask different questions and look at wider solutions. We need an organisational development plan that is inclusive, moving away from individual service workforce plans to a more holistic and lateral plan - making connections with other areas such as re-skilling staff so they can support vacancy's in different disciplines with a more agile workforce. We need to grow our own in house skills and develop apprenticeships and this will take proper research and time to ensure we develop the right kind of organisational development. This work has started and is likely to develop further over the next two years with a draft OD policy due to go to P&R scrutiny between Nov 2018- Jan 19 with routine updates to this committee on progress.	Lynne Donovan	Oct 2017 Changed to April 2019	We are looking at what the Council needs to support future service delivery, (however services may look), which will involve a review of all our HR policies and also the production of relevant strategies including Workforce Planning / Organisational Development and also Wellbeing. The HR policies and strategies will be essential to support a future workforce that is fit for purpose and able to meet the needs of changing delivery models. The principles of agile working are now in operation and the policy will be developed along with the review of the other workforce flexibility policies to ensure they all integrate. The OD policy is still being developed in line with other workforce policies with an aim to be finished early spring. We will then be in a position to close this proposal as it moves into day to day business.	In progress	40%

118A2017 - (issued Feb 2017) deferred due to election til June	Good governance when determining significant service changes. Presented Cabinet 5th July 17	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	There were no major service changes arising from the savings agreed by Council for the 2018/19 financial year. However, progress in delivering the approved savings will continue to be monitored through the budget monitoring reporting process. As we move forward there will inevitably be more significant changes required to achieve savings targets and this will be closely project managed through progress reporting to the Business Improvement Board.	Stephen Harris	Feb-18	Detailed reports in relation to the 2019/20 draft savings proposals were presented to a series of Special Scrutiny Committees in December 2018. These reports also included Equality Impact Assessments for those proposals that are likely to have a public impact if approved. Final 2019/20 Budget Proposals will be presented to Cabinet and Council in February 2019. Arrangements will be put into place to review progress in delivering approved savings through the Council's budget monitoring process and the Business Improvement Board for more significant items.	Recommended for closure	100%
654A2016 (issued March deferred due to election til 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.	The pilot has been completed in the Communities Directorate. The Business Improvement Board will determine the next steps in relation to business case requirements linked to significant service change proposals. As part of business as usual all savings proposals that are likely to have an impact on the public will require detailed reports to be prepared for consideration by Scrutiny Committees.	Stephen Harris	Oct - Dec 18	The pilot template has been used again by the Communities Directorate as part of the process for developing draft savings proposals for 2019/20. The Business Improvement Board is yet to finalise the next steps in relation to business case requirements linked to significant service change proposals but this will be completed by the end of June 2019. As part of business as usual all savings proposals that are likely to have an impact on the public will continue to require detailed reports to be prepared for consideration by Scrutiny Committees.	In progress	Jan 75%
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	Project management capacity: Through our periodic management reviews and periodic reports to CHTG/Scrutiny/Cabinet, any revision to delivery of the WHQS project plan will address resource matters to secure sufficient project management capacity and the ongoing delivery of the WHQS programme. Oct 2017: 1. Business case approved for the appointment of additional resources, allowing recruitment to take place as and when required. 2. Project management of sheltered housing programme being carried out by in-house team following consultation with tenants. 3. Project management of various aspects of the programme is being undertaken by other services to spread the workload and maximise the use of existing resources..... 4. A restructure of Caerphilly Homes to be undertaken....	No current issues with project management capacity. Existing Resources are sufficient and a New Housing Technical post was appointed to better integrate WHQS and reactive maintenance services. A Cross-Party Working Group Report was submitted on 11 Jan 2018 clarifying status of addressing this recommendation/proposal.	Shaun Couzens	Jan/Feb 2018	The Council has made significant progress in identifying the investment and resources it needs to complete its WHQS programme by the end of 2020. During 2018, an ongoing re-structure of the Caerphilly Homes services was progressed to improve better integration across functions and maximise the skills, experience and capacity within the service. WAO Report (Dec 2018) noted: Overall, we found that: The Council has responded positively to our June 2017 WHQS report and statutory recommendations by making significant improvements and as a result we now conclude that it is likely to meet the WHQS by December 2020.	Recommended for closure. This is part of ongoing business.	100%
New WAO Ref 609A2018-19	Overview and Sctutiny - Fit for the Future? Issued July 2018	P1 Improving the provision of training and development opportunities for members to help a) improve their understanding of their role in overview and scrutiny; b) develop their skills to be able to scrutinise effectively; and c) improve their understanding and consideration of the Well-being of Future Generations Act when undertaking scrutiny activity by providing further training.	a) & b) - To run a self-evaluation Survey of officers and members (based on the good characteristics of scrutiny guidelines). Once the results have been analysed, the results and the WAO findings will be used to form a member workshop. The outcomes of member workshops will be used to triangulate these 3 different forms of intelligence to set an action plan for improvement. This outcome of this action is to have a developed action plan that will then be monitored by the Scrutiny Leadership Group.	New Report no previous narrative	Cath Forbes-Thompson	Jul-19	a) & b) The self-evaluation survey is being completed and the results will be analysed in January. The survey results and the WAO findings will inform the basis for new member workshops. From September the 2 year member training programme was put on the members portal. The training programme was informed by the training needs analysis in which members identified their training needs. C) Additional training has been provided to all Scrutiny's in the Well-being of Future Generations Act and the 5 ways of working (Sustainable Development Principle), so this proposal is now complete.	In progress.	50%
		P2 Clarifying the role of Cabinet Members within the overview and scrutiny process to ensure that arrangements support transparency and accountability.	The above action to complete the survey and hold workshops with input from the WAO report will form the action plan that will address this proposal and will be monitored by Scrutiny Leadership Group	New Report no previous narrative	Cath Forbes-Thompson	Jul-19	The same update from the above column applies here	In progress	50%
		P3 Setting clear priorities and actions for improvement for the scrutiny function taking into account current and future challenges	The above action to complete the survey and hold workshops with input from the WAO report will form the aciton plan that will address this proposal and will be monitored by Scrutiny Leadership Group	New Report no previous narrative	Cath Forbes-Thompson	Jul-19	The same update from the above column applies here	In progress	10%
New WAO ref 826A2018-19	Service User Perspective Review Issued Draft October -final - Dec	P1 To ensure that the WHQS programme meets the needs of all tenants and leaseholders the Council should; • strengthen its communication approaches with all tenants and leaseholders, taking account of the experiences of different groups of residents; • monitor and report compliance with the Charter for Trust to address any identified issues; and • analyse complaints about the WHQS programme systematically to address the root causes and share learning to improve tenants' and leaseholders' experience of the programme	Communication: Current communication approaches will be reviewed with our tenant working group whilst also considering the responses received from the household survey. Charter for Trust: included within all contract documentation and promoted at each pre-contract meeting, ensuring that information is required to be passed on to all members of the workforce including sub-contractors. Feedback from tenants to be analysed to learn from experiences. Complaints: Tenant satisfaction returns will be reviewed to ensure any areas of concern are identified and addressed. As part of our complaints process each complaint will be considered to establish if any service changes are required to improve customer experiences for the future.	New Report no previous narrative A Housing Services - Governance and Performance Framework was drafted (2017) to identify key aspects that influence the delivery of the WHQS programme, including reporting groups and intelligence categories (data sources) established.	Shaun Couzens	Mar-19	Communications methodologies and feedback received through the following groups, is cotinuously under review and open to improvement suggestion: - Newsletters, social media, events -Tenant Liaison Group /Tenant Liaison Officers - Surveyors - Contractors/Workforce - Tenant letters - Enforcement orders - feedback and complaints Charter for Trust: customer satisfaction questionnaires are issued and responses reviewed to learn from tenant experiences and make improvements to service delivery. Complaints: Response rates for 'Internal Works' has been well monitored for a number of years with follow up actions addressed as and when required. However, for 'External Works' implementation has only occurred these past 2 years with low response rates. The current satisfaction process is being reviewed with the aim of improving level and quality of responses received.	In progress with ongoing monitoring	75%