

Corporate Services Directorate Performance Assessment



2020/21 End of Year Update

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Directors Summary



Year End Summary 2020/21 data

It is important when exploring the performance information set out within the DPA for Corporate Services that the updates are assessed against the continued difficulties presented by the COVID-19 pandemic. It is so encouraging that in spite of significant additional workload pressures that good progress continues to be made against the Strategic Priorities and that performance across the service has remained generally good.

It was very pleasing to see the final settlement (RSG) from Welsh Government provide a growth budget and the opportunity with it to protect jobs and services while also making some significant investments in key areas. The positive aspects of a growth budget position has been further enhanced by the provision of significant one off COVID funding from Welsh Government near to year end. While this has inflated the Directorates overall underspend, it does provide a number of further investment opportunities in respect of staffing, systems and developments which are also welcome.

In terms of causes for concern, sickness at both corporate and directorate level has increased in Q3 and Q4 when compared to Q1 and Q2. The Cabinet Member and Chief Executive has asked for a deep dive into the sickness issues to be undertaken to establish any underlying issues that may need addressing. The extended period of remote working, coupled with the lockdown may well be a contributing factor so the deep dive is welcomed. Aside from this a staff survey has been launched which included some specific questions on wellbeing. This will be considered alongside the deep dive into sickness absence when designing any interventions. Another concern relates to the compliance targets attached to Freedom of Information requests not yet having returned to pre pandemic levels and not currently being met. There has been a slight improvement in compliance recorded alongside an increase in the number of requests being received which is promising but there remains work to do in this area.

In terms of some service highlights, the progress made by Customer and Digital Services in progressing the automation agenda is starting to show a real impact on staff and customers and moving forward we'd like to accelerate and broaden this work to other aspects of our business. It is similarly pleasing to see high levels of Council Tax payments being made despite the closure of customer services offices and with that the closure of cash offices. Great strides have been made in moving to new approaches such as post office cards and telephone or online payments in this space. The availability of Major IT systems, more important now ever through the pandemic, remains exceptionally high and has not fallen below 99.7% all year. Finally I'd like to place on record my thanks to all staff across the Directorate for their

Priorities

Title	Completion Date	RAG	Progress - Achievements - Impacts
Customer & Digital Services			
Deliver a revised Staffing structure for Customer and Digital Services.	December 2019	●	Complete (but ongoing) - The original restructure of the Digital Services Team was concluded early in 2020 but further adjustments have been made to the structure since as a result of normal operational churn. Work has also continued with regard to refining and improving the structures attached to Procurement and Customer Services. Customer Services Update - Restructure is completed.
Implement the Programme for Procurement within agreed timescales [to generate whole life benefits to the organisation and society)	2023	●	Ongoing - Significant progress has been made on the implementation of Themes, Outcomes and Measures (TOMs) and their formal adoption via the Social Value Portal. From early 2020/21 the TOMs methodology is being included in all relevant procurement processes. In addition, Caerphilly CBC continue to be actively involved with a National TOMs Framework for Wales via the WLGA and supported by the National Social Value Taskforce Wales (NSVT Wales). Caerphilly CBC specific and National TOMs for Wales have been designed to help Caerphilly CBC and other organisations measure and maximise the Social Value they create through the delivery of their services across the 7 Well-being Goals and importantly they will allow organisations to report Value created as a financial contribution to society. A draft of the Council's Social Value Policy has been developed and is being readied for consultation.

Title	Completion Date	RAG	Progress - Achievements - Impacts
Implement the Customer and Digital Strategy within agreed timescales to meet the changing needs of our customers.	5 year programme	●	<p>Ongoing - Strong progress being made across all elements of the strategy. The progress being made in terms of automation is particularly pleasing and is attracting national interest. The requirement to close front of house customer first offices as a result of the pandemic has also seen a steady channel shift toward digital engagement which the Council will now seek to retain and build on further over coming years.</p> <p>Customer Services - In line with the Customer and Digital strategy, Working with the Contracts Manager to identify contract renewal dates of existing system and Abavus is being looked at as an alternative if it can fulfil the service requirements. Automation of services within Caerphilly is rapidly developing, Caerphilly are leading the way in the UK and are nominated for upcoming awards.</p> <p>Website and Intranet redesign as part of the Digital Front Door Service review is being championed by the Centre of Digital Excellence and when live will be seen as the best in practice across Welsh LA's</p> <p>Corporate Service Reviews in place for One Number, Complaints process, Digital Front Door and Walk in Services. These are all in line with strategy and will be the future approach to how we conduct our business within the authority.</p> <p>One Number Review - huge success in rolling out</p> <p>Digital Services: Developing ICT Strategy to underpin the Customer and Digital Strategy, this is scheduled for Cabinet presentation on 9th June.</p> <p>Cloud and Connectivity Strategies which both form part of the ICT Strategy are in draft.</p> <p>The Authority has approved funding for Microsoft E5 licenses, and these have been purchased, this will enable improved security and additional functionality.</p> <p>We are working with our partners, Red Cortex and Microsoft to introduce the E5 product suite as quickly as possible. Initially concentrating on implementing the security functionality.</p> <p>Working with Contract's Manager to rationalise solutions and benefit from investments already made by the Authority.</p>
Purchase & Implementation - Abavus Customer Portal	4 year programme	●	<p>Ongoing - 8751 new customers have registered for an Abavus account. 28,334 service requests have been submitted through the Abavus platform. Due to Covid-19 the scheduled workplan has been delayed as services have been developed to specifically support the current pandemic response. Mayrise and Civica App forms are now in development. Waste Management service redesign and full end to end implementation onto the Abavus platform has been agreed with work restarting in September 2020. Self Service Scanning is now built and will be rolled out at Customer Service Offices when they reopen. Appointment bookings and Room Bookings are both being built in readiness for reopening to replace existing systems. Whilst we are behind on our current work plan, without the platform we would not have been in a position to build the reactive forms that have been needed by service areas during these unprecedented times. A total of 9814 service request have been raised specifically in respect of Covid-19 services such as Business Rate Grants, Key worker childcare applications, rescheduling of Council Tax Payments etc. The focus now is to pull the work programme back on track and refocus on delivering the original plan.</p> <p>Customer Services - over 20,000 registered customer, over 90,000 service request submitted through the platform in the last 12 months. Waste management work underway. Replacement of existing CRM system underway. Self Scanning ready reopening of offices, Appointment bookings being used internally for managing appointments. Workplan needs reviewing with Abavus to establish their long term road map and the future of the system</p>
Purchase & Implementation - Thoughtonomy Virtual Workers Business Process Automation	4 year programme	●	<p>Ongoing - A new automated Supporting People process is live. Free school meals is in UAT and will be developed and implemented as soon as resource allows. Expected to be live by December 2020. Blue Badge - Automated entitlement process is in development. Payment of Pupil Development Grants (PDG) process is currently being explored with further processes to follow.</p> <p>PDG grants have requested a call with CB8 to discuss automation ready for next years applications</p>

Title	Completion Date	RAG	Progress - Achievements - Impacts
Revise Information Governance Work Programme to focus on deriving best value from Council data in light of new technologies, and to ensure service areas have legally compliant records management systems.	October 2019		Ongoing - Work programme revised by the original October 2019 deadline, and currently being implemented. Key progress over the last year includes supplementing mandatory annual Protecting Information eLearning with a bespoke cyber security module, together with tips on home working and a Covid cyber security risk register, to address lockdown challenges; commissioned an external gap analysis on our cyber security position to inform our Cyber Security Strategy; facilitated bespoke cyber training for all Digital Services staff; identified Information Asset Owners of records on network drives so that they can address backlogs; established a Secure External SharePoint Site to replace Egress Workspace; re-design of Information Risk Register to provide dashboard view of risk levels across all services; supported schools IG via SLA including during remote learning; continued to process information requests despite key staff redeployed to the Covid response and lack of office access posing a barrier for all services in receipt of a request; managed corporate and schools data incident reports and avoided action by ICO.
Agree Hwb ICT Investment Programme - Develop sustainability and Programme Plan - Plan in line with WG Timescales.	October 2019		Ongoing – Replacement of existing network infrastructure in 86 schools complete which ensures schools and Local Authority are meeting the Education Digital Standards introduced by WG, the investment has future proofed the digital environment to meet the needs of a more digitally focused learning environment. Further WG Funding secured for FY20/21 to the value of £1.7 million to purchase end user devices - £187k of this funding was ring fenced to support the on-going continuation of blended learning throughout the pandemic. FY20/21 funding utilised to procure circa 7000 Chromebook which were all enrolled into the Hwb domain to support the future 'Hwb First' Strategy providing learners with full access to Office365 tools. Appropriate sustainability plans have been put in place via Education Finance. Revisit of baseline assessments within schools currently being completed which will support next steps and future waves of the programme.
To Purchase and roll out Office365 (O365)	2 Year Programme		Ongoing - The Authority has approved funding for Microsoft E5 licenses, and these have been purchased, this will enable improved security and additional functionality. We are working with our partners, Red Cortex and Microsoft to introduce the E5 product suite as quickly as possible. Initially concentrating on implementing the security functionality. A dedicated team is being developed for this project.
Develop and lead All Wales ICT Procurement for Hwb Programme	5 year programme, started in October 2019		Ongoing - Caerphilly established a Dynamic Purchasing System (DPS) on behalf of all twenty-two local authorities in October 2019 in accordance with UK Public Contract Regulations. The DPS offers an opportunity to develop a national, strategic relationship with Suppliers in order to maximise the current and future investment that schools and local authorities in Wales make in education technology. The DPS will be a "live" market for Suppliers able to demonstrate they fully meet our requirements. The DPS will be continually refreshed to take account of and keep pace with changes in related technologies and associated services. e.g. Lot 3, Teaching and Learning Tools established (for FY21/22), re-established order form for Lot 2 (for FY21/22), Headsets & Accessories (for FY21/22) and separate exercises being undertaken for Adobe software (FY20/21) and individual local authority requirements (Networking and End User Devices). Spend to date via the DPS is circa £93million since implementation on behalf of Welsh Government and Local Authorities. Circa £43.5million of spend during FY20/21 (circa £42m within Lot 2) which included WG and LA funded purchases thus meeting the requirements of WG funding for FY20/21. Digitally Excluded Learners connectivity and Mifi Devices commenced in May 2020 due to the Covid-19 emergency, the initiative currently continues with a spend of circa £1.8 million to date. Approx. 11,000 devices and SIMS deployed and secured 9000 Neverware Cloud Ready licences. Project Highly commended at the recent GO Awards.
Legal & Governance			
Complete Scrutiny Review and implement actions that improve the Scrutiny function. The purpose is to address recommendations from the WAO “Fit for the future” report	April 2020		Complete - Full Council is expected to resolve that it should retain 5 scrutiny committees at its meeting on 6th October. A corporate review on Decision Making has been commissioned with the Head of Legal Services and Monitoring Officer leading the review.
Deal with the Air Quality situation at Hafodyrynys - Working in partnership	2023		Ongoing - Work continues to support the organisation through the process of purchasing the houses in Hafodyrynys and making the necessary improvements to air quality within the area.
Review Childcare workload following appointment of 2 new lawyers.	Spring 2020		Complete - this priority is not complete and will be removed for 2021/22.

Title	Completion Date	RAG	Progress - Achievements - Impacts
People Services			
Develop a Well-being Strategy to support people to be well and to be in work		●	Ongoing - The Well-being Strategy is being developed and will take account of matters arising as a result of the Covid 19 pandemic. Following analysis and consideration of the staff survey results, the Strategy will be taken through the consultation process.
Develop and implement an Workforce Development Strategy to have the right people in right place with the rights skills		●	Ongoing - The Workforce Development Strategy is being taken through the consultation process and is scheduled at Policy and resources Scrutiny Committee on 6th July 2021 as part of this process.
Service Improvement and Partnerships			
a. Draft the #Team Caerphilly Future Transformation Strategy b. Strategic action plan to be written. c. Ensure delivery of key action plan and evaluate effectiveness	Key deadlines are included in the Strategic Action Plan.	●	Ongoing - The Transformation Programme has continued, picking up pace again from September onwards. All ten Corporate Reviews are underway and are reporting in line with progress to the Team Caerphilly Board. Actions on the original Strategic Action Plan (July 2019) are now complete or included within the corporate review programme. The Commercial and Investment Strategy was adopted and actions are underway including business plans to reduce the subsidy at Tourism destinations. Licence to Innovate process has been piloted. Caerphilly Conversation continued with the residents survey (first since 2017) including feedback that has informed the 2021/22 budget report and the corporate reviews. Members seminar in early April as part of strengthening the role of Scrutiny.
Support the ongoing process of embedding Future Generations across the Authority and further improve the quality of Equalities Impact Assessments (EIA's)	Complete	●	Complete - Future generations assessment is now part of the new Integrated Impact Assessment that has been developed to ensure compliance with the new socio-economic duty. The IIA has replaced a number of previous assessments including contribution to corporate plan well-being objectives. Training on the new IIA has been completed with Management Network with further sessions offered to report writers and service managers. The resources to aid in completion of IIAs are well developed and available to all on the Policy Unit portal. The report template has been revised to align with the new IIA. The new 4-year Strategic Equality Plan 2020-2024 was agreed by Cabinet in October 2020.
Implement a new Corporate Performance Framework including the Directorate Performance Assessments, so the organisation has correct information on how it is performing.	Quarterly	●	Complete - The new framework has been implemented and was agreed by Cabinet 26th Feb 2020. Due to Covid the work 'paused' but started again with a full assessment going to Cabinet 19th November 20 and the 6 month DPA's to scrutiny for the first time March 2021. The DPA's were well received by members. This will be ongoing now as part of the reporting journey. Continuing to finesse the content, the analysis and use potential automation will be ongoing as part of the Corporate Review on 'intelligence and insight', which means the priority in its current format is now complete.
Corporate Finance			
Progress completion of the 2017/18 ISA260 recommendations for Internal Audit to ensure the recommendations from external auditors are implemented.	Targets to be reviewed when 2018/19 ISA260 report is received.	●	Ongoing - The ISA260 report for the 2019/20 financial year contained one outstanding recommendation for Internal Audit. This relates to the tracking of recommendations in audit reports and reporting to the Audit Committee. A new audit management software system (MK insights) was successfully installed in September 2019 and work was then undertaken to develop and tailor the individual audit programmes for the various audit areas. Work was also being undertaken to develop and tailor the various management reporting functions and audit report formats, and to set up notifications for recommendation tracking (due dates and overdue) and reporting to the Audit Committee. This work was temporarily suspended due to Covid-19 but has now restarted. A progress report will be considered by the Governance & Audit Committee at its meeting on the 8th June 2021.
Coordinate and facilitate balanced budget proposals for 2020/21 with higher savings targets for discretionary services to deliver a balanced budget.	Initial lists to be submitted by the end of June.	●	Complete - The 2020/21 budget proposals were approved by Council at its meeting on the 20th February 2020. This included total savings across the Council of £3.007m.
PFI Review – progress the review of school Private Finance Initiative.	Next steps to be agreed at the meeting scheduled for the 19th June.	●	Prior to the Covid-19 outbreak the Council was working with Local Partnerships to prepare a business case by the end of March 2020. This work was suspended due to the pandemic but has now recommenced. The draft business case will be completed in June 2021.

Count No's	RAG	Status
0	Black	Not yet started or too early to report any progress (achievements/changes)
0	Red	Started but not progressing well
9	Amber	Started with reasonable progress achieved
11	Green	Going well with good progress
20	Total	

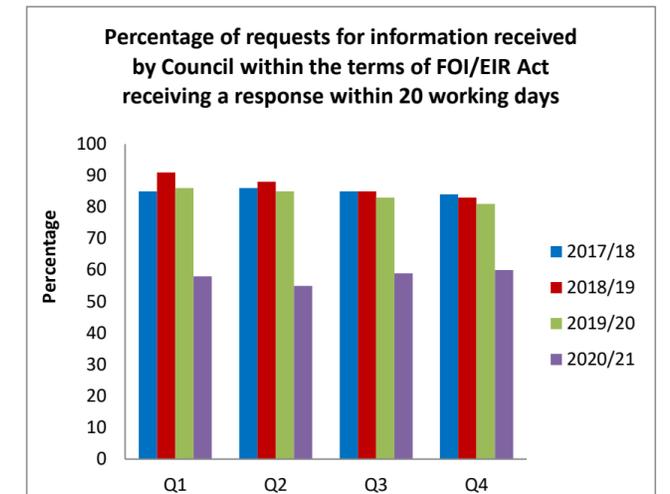
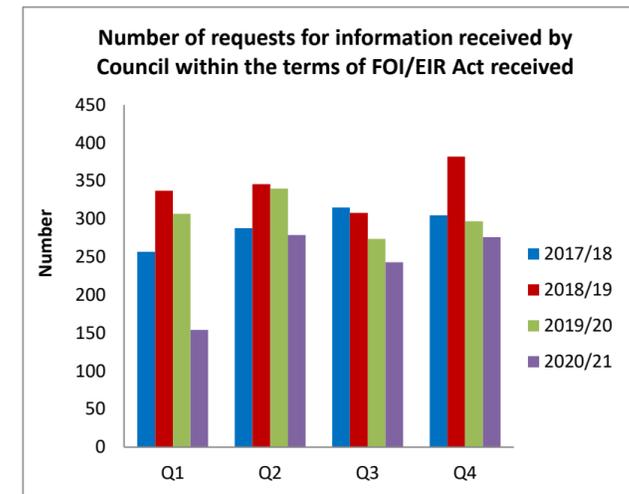
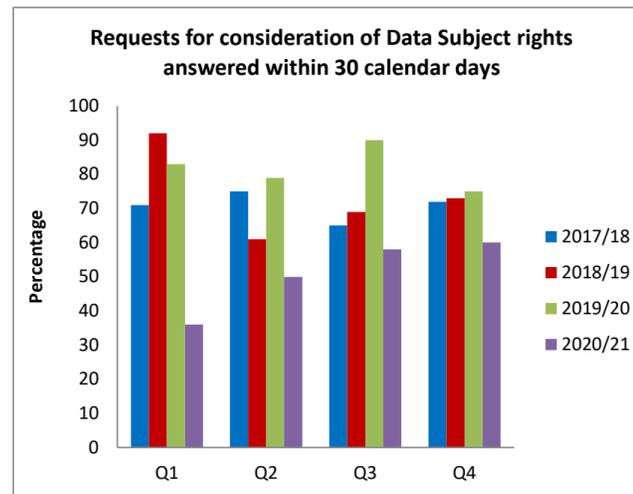
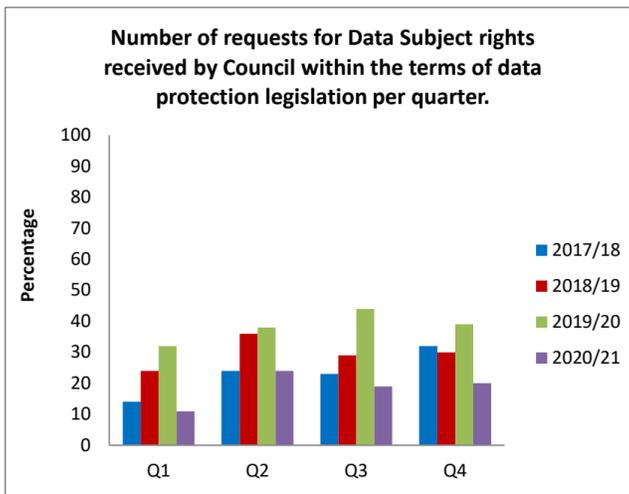
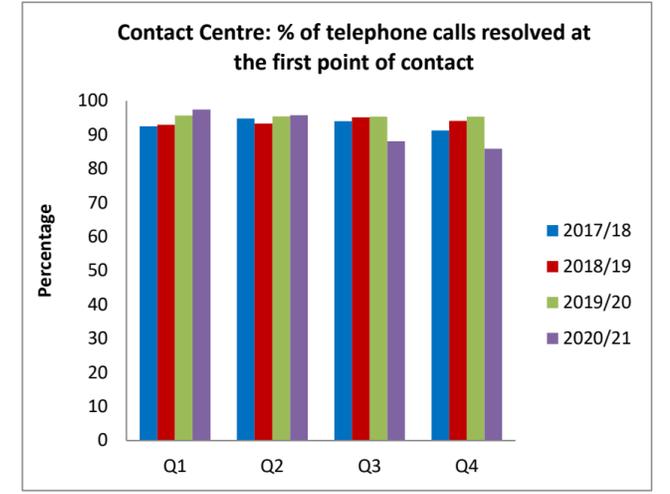
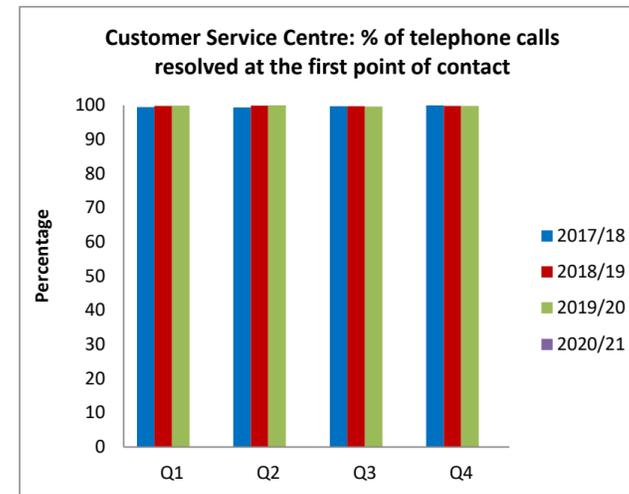
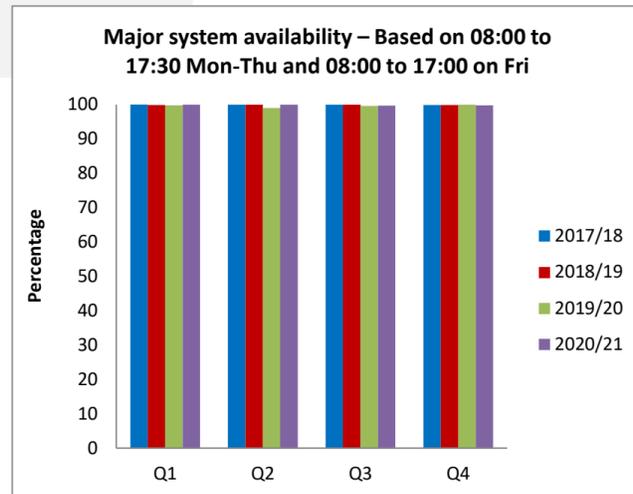
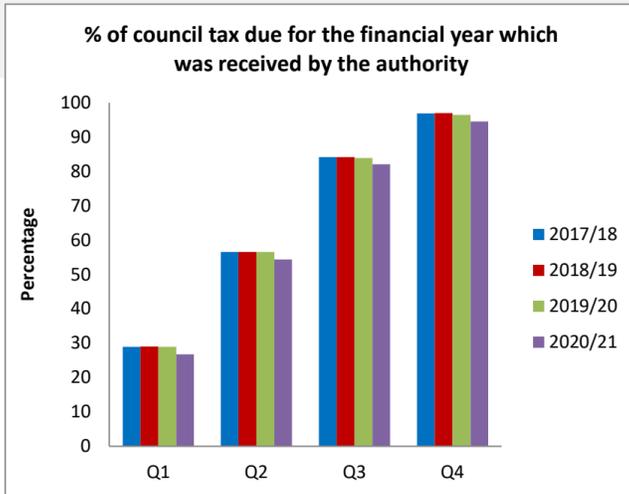
Performance

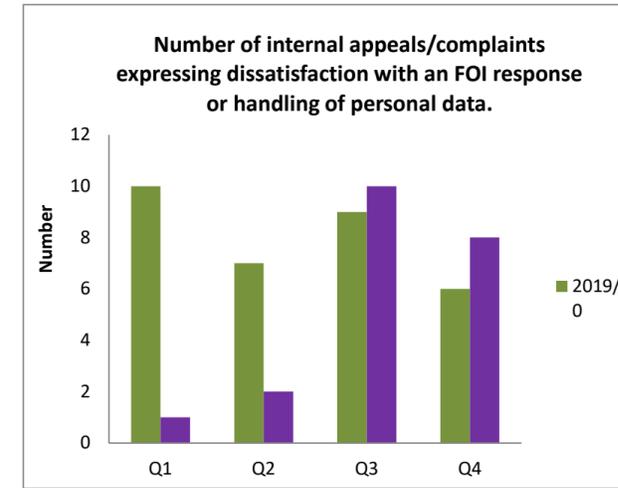
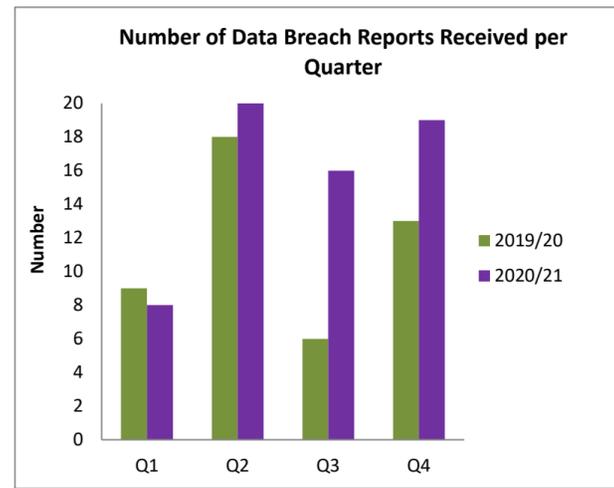
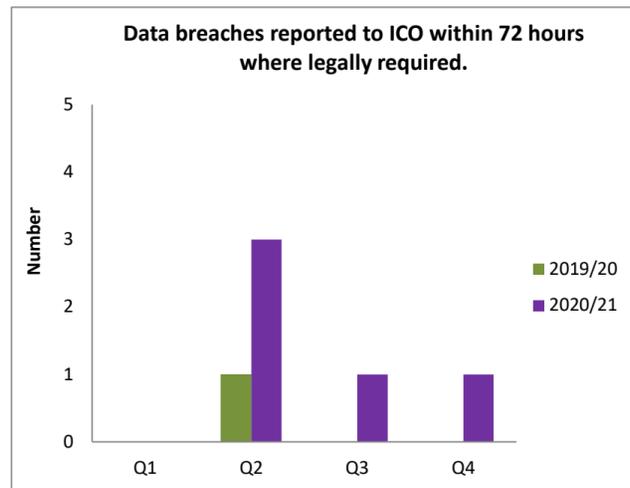


Performance Information	Frequency	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Target	RAG	Comments/Performance Explained
Budget in year Position (over/underspend)	Annual							See Resources tab for more information.
In year savings targeted vs savings delivered	Annual							See Resources tab for more information.
% Sickness absence: Authority	Monthly	3.54%	3.47%	4.52%	4.38%	4.00%		
% Sickness absence: Corporate Services	Monthly	2.19%	2.02%	3.52%	3.19%	4.00%		Note: This figure includes Education. Work is being undertaken to identify why sickness absence has increased across the Authority
PAM/001 Number of working days lost to sickness absence per employee	Yearly							PAM Indicator. 2018/19 figure was 11.3 days.
PAM/044 (New) Number of apprentices on formal recognised apprenticeship schemes per 1,000 employees	Yearly				2.65			PAM Indicator. 22 Apprentices in total.
% of council tax due for the financial year which was received by the authority	Quarterly	26.8%	54.40%	82.10%	94.50%	TBC	N/A	Target not set due to COVID-19 impact. HMCTS suspended council tax court hearings in March 2020 due to COVID-19 pandemic, priority to criminal matters. Awaiting update from Courts but legal proceedings cannot be undertaken until Courts Service agrees they can resume. All actions to recover unpaid debts suspended by Cabinet until September 2020. Reminder notices issued from September 2020 to generate as many payments as possible and action on previous year court orders did not resume until April/May 2021.
% of Annual Spend with Caerphilly based suppliers	Annual					25%		Annual Measure (data from Spikes Cavell available by end of June 2021)
% of Annual Spend with 'City Deal' based Suppliers	Annual					57%		Annual Measure (data from Spikes Cavell available by end of June 2021)
% of Annual Spend with Suppliers across Wales	Annual					60%		Annual Measure (data from Spikes Cavell available by end of June 2021)
Major system availability – Based on 08:00 to 17:30 Mon-Thu and 08:00 to 17:00 on Fri	Weekly	99.94%	99.98%	99.73%	99.76%	99.70%		Q4 do not include all weeks for Vubis and Exchange.
% of Contact Centre telephone calls resolved at the first point of contact	Quarterly	97.48%	95.76%	88.18%	85.89%	80.00%		Targets to be reviewed ready for Q1 2021-22
% of Customer Service Centre enquiries resolved at the first point of contact	Quarterly	N/A	N/A	N/A	N/A	80.00%	N/A	23rd March 2020 all Customer Services offices have been closed due to COVID. No data to report
Number of Complaints Received in Corporate Services (and dealt with within statutory timeframes) YTD	Monthly	0	2	0	1			See Customer tab for more information
Number of requests for Data Subject rights received by Council within the terms of data protection legislation per quarter.	Quarterly	11	24	19	20	N/A		An approach to the request backlog is being considered now that some arrangements are in place for staff to access the office for wellbeing reasons.
Requests for consideration of Data Subject rights answered within 30 calendar days	Quarterly	36%	50%	58%	60%	80.00%		Compliance dropped during 2020/21 as offices could not be entered to access hard copy records held by services, and staff in Service Areas and IG were redeployed to the frontline Covid response. Electronic redaction of SARs whilst working agile is now possible as long as service areas are able to provide information electronically.
Number requests for information received by Council within the terms of FOI/EIR Act received per quarter	Quarterly	154	279	243	276			Request numbers decreased in Q1 due to the start of Covid lockdown in March 2020, but started to climb again from Q2 onwards.
Percentage of requests for information received by Council within the terms of FOI/EIR Act receiving a response within 20 working days - year to date	Quarterly	58%	55%	59%	60%	80.00%		Reminders have been sent to service areas and reports have been circulated in an attempt to clear the backlog that has built up during the COVID.
Number of data breach reports received per quarter.	Quarterly	8	20	16	19			Trends indicate that mis-addressing of correspondence (email and hard copy) is the most common cause, along with using the text from a previous response as template for a new response and failing to remove personal data contained in it, selecting the wrong e-mail address from the dropdown list that appears when you start typing an e-mail address and letters being attached to another person's letter in error. Mandatory annual learning covers all these points, and IG Stewards are reminded to reinforce these messages throughout their service.

Data breaches reported to ICO within 72 hours where legally required.	Quarterly	0	3	1	1			Q2: 1 incident resulted from changes to processing of identification documents in response to the Covid office closures. The other 2 incidents resulted from human error of officers mishandling hard copy records. Improvements to procedures have been implemented as a result. The breach reported in Q3 actually happened in Q2, but wasn't reported to the ICO until Q3 (investigation was ongoing) and relates to a member of staff accessing records when there was no business case for them to do so. There was no action taken by the ICO in relation to the breach that was reported in Q4. School performance is not included in this report, but data incidents are notified to the
Number of internal appeals/complaints expressing dissatisfaction with an FOI response or handling of personal data.	Quarterly	1	2	10	8			The smaller number of requests received would account for a smaller number of appeals. NB this includes FOI/SAR internal appeals, requests for rectification and to restrict processing under GDPR.

Performance Explained





Customer Intelligence



What is our customer intelligence telling us?

Complaints - Corporate

One Stage 1 Complaint for Q4,

Customer unhappy that they were unable to speak to the back office department. Customer Advisor made six attempts to speak to back office but calls not being answered. Line between customer and advisor dropped due to technical issue.

The reason for the call was that the customer wanted to report that neighbours bin had not been collected for some weeks since passing away and was worried about the smell and health problems.

Outcome: Investigated the complaint and can see that the Customer Service advisor tried on multiple occasions to contact back office without success but then a technical issue occurred and the line between the customer and advisor dropped.

While completing the investigation the bin has already been collected.

Complaints - Informal (Customer Services)

Issues : Customer had issues using CCBC website

Outcome: Spoken to customer and walked the customer through over the phone.

Complaints with an equalities and/or Welsh language element

Welsh - There were 2 complaints relating to Welsh.

Highways - Resident didn't receive a letter from the Council notifying them of changes to the road access to housing estate. Delay in receiving response felt this was due to their initial query being in Welsh.

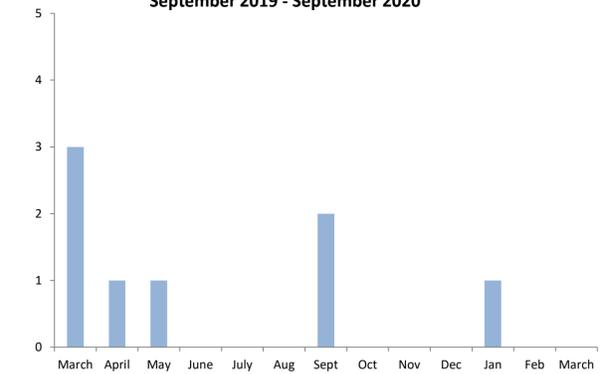
Chief Executive - Covid Update from the Chief Executive and Leader was in English Only. Explained to complainant that this was allowed in line with the relevant Standard in the Council's Compliance Notice

Equalities - There were 3 complaints relating to Equalities

Highways - Complaint from resident in relation to Disabled Parking Spaces for residents

Highways and Planning - Complaint regarding customer vehicles for a business parking on pavements around residential area

Number of complaints in Corporate Services
September 2019 - September 2020



Satisfaction

Other Points of Note

I.T

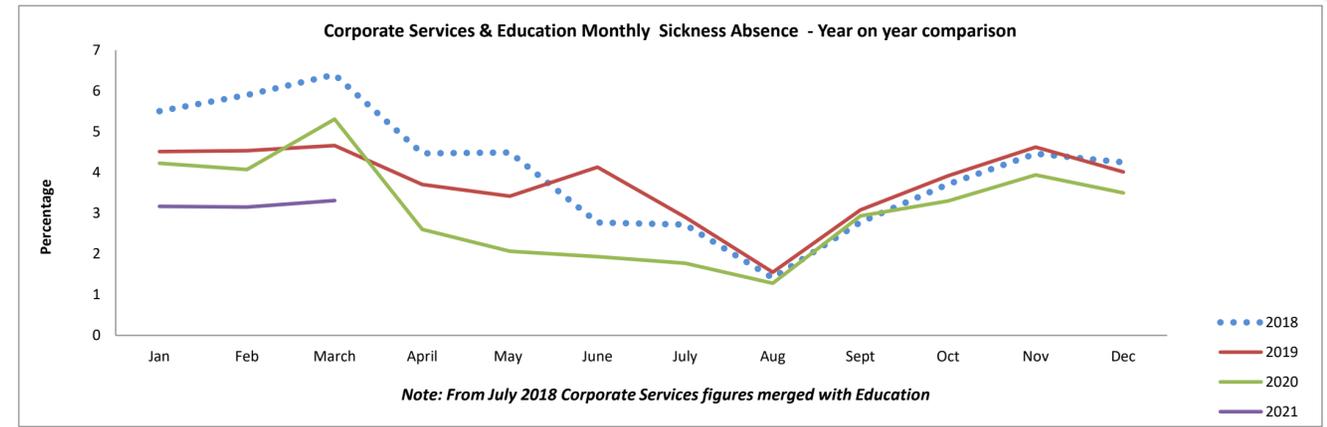
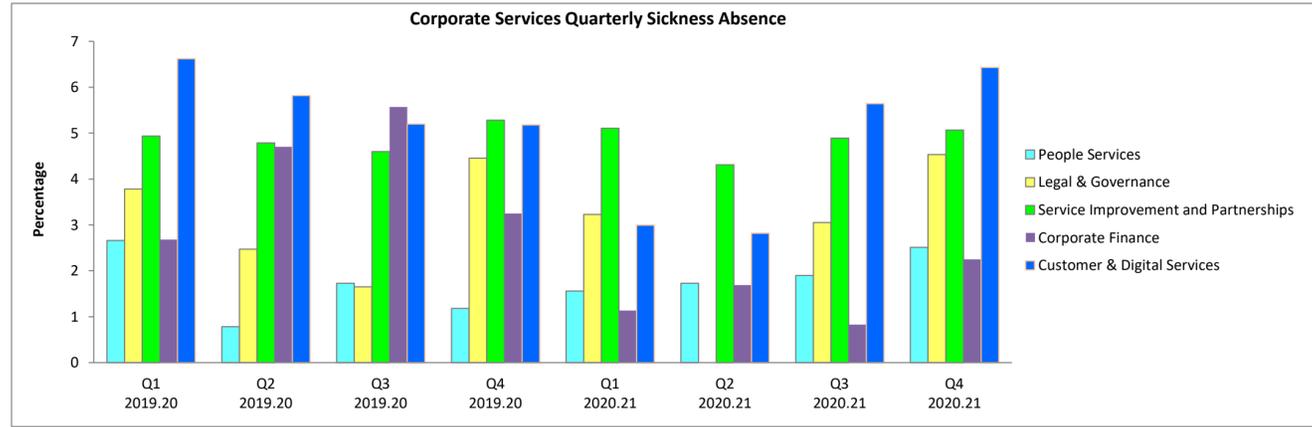
- The rollout of Microsoft Office 365, although accelerated by the Covid-19 pandemic, has now slowed due to a lack of information being received from the Organisation with regards to officers who need the license.
- ICT Strategy has been drafted with the assistance of Partner Red Cortex, this has been presented to CMT and their views are now being combined into the Strategy.
- The EdTech schools project has restarted as access to school buildings became available and this is now progressing well.
- The usual increase in support requests for schools at the start of the term has put pressure on resources but good progress has been made in resolving these calls during the latter part of September.
- A significant number of devices have been purchased, configured and distributed to schools as part of the EdTech project.
- The move to an agile workforce has seen the number of laptops being purchased and distributed significantly increase.

Service Improvement and Partnerships

- Audit Wales, as part of its corporate review work, has held 2 interviews with the head of Finance and Business Improvement Manager on how risk management is running during this time. This work should conclude by the next DPA report.
- The Annual Performance Report has been published, with the Cabinet papers prior to the statutory date of the 31st October and more widely with the Welsh version on the 4 Nov 20. The WLGA and Welsh Government with WAO Performance Director agreed that a pragmatic and engaged approach should be taken, if there is potential late publication of the Annual Performance Report. It remains to be seen whether our certificate of compliance will say that we met the statutory deadline or not.

Regulator Proposals

Number and reference of action	Name of Report	Regulator Proposal	Action	PREVIOUS UPDATE	Service Officer Responsible	When will be completed by	CURRENT UPDATE - MAY 2021	Status	Percentage completed
181A2016	Financial Resilience 2015/2016 issued April 2016	P1 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".	A Commercial and Investment Strategy has been drafted and will be presented to the Policy & Resources Scrutiny Committee on the 10th November 2020 followed by Cabinet on the 9th December 2020.	Stephen Harris	01/04/2017 (changed) July 17	The Commercial & Investment Strategy and associated Action Plan was approved by Cabinet at its meeting on the 9th December 2020. The Action Plan includes a review of fees and charges to ensure that tradeable services are supported by a thorough understanding of whole life costs as part of the decision to commercialise.	Complete	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.	The draft Workforce Development Strategy will be consulted upon in January 2021	Lynne Donovan	Autumn 21	The original date for completion was Oct 2017, but due to many factors this changed to April 2019, then 31st Jan 2020. The date of completion for a draft document was then changed to January 2021 and this deadline was met. The Strategy is now out to consultation and is scheduled for Policy and Resources Scrutiny Committee as part of that process on 6th July 2021.	In progress	75%



Q3 Monthly Breakdown	Oct			Nov			Dec		
% Sickness Absence	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %
People Services	0.92	2.13	3.06	0	1.37	1.37	0.23	1.05	1.28
Legal & Governance	1.81	0	1.81	1.76	2.84	4.59	0	2.83	2.83
Service Improvement and Partnerships	1.21	3.69	4.90	1.67	3.06	4.73	1.59	3.48	5.07
Corporate Finance	0.63	0.67	1.30	0.29	0	0.29	0.85	0.66	1.51
Customer & Digital Services	1.27	4.27	5.54	1.03	3.79	4.82	1.46	5.11	6.56

Q4 Monthly Breakdown	Jan			Feb			March		
% Sickness Absence	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %
People Services	0	1.05	1.05	0.89	1.04	1.93	1.09	2.09	3.18
Legal & Governance	1.36	2.82	4.19	1.13	3.69	4.82	2.41	2.77	5.18
Service Improvement and Partnerships	1.11	4.17	5.28	1.05	4.20	5.25	1.02	3.85	4.87
Corporate Finance	0.40	0.67	1.07	0.37	1.34	1.71	0.67	3.08	3.75
Customer & Digital Services	0.50	5.19	5.69	0.87	6.37	7.24	1.62	4.15	5.77

Corporate Services Workforce Information				
	Q1	Q2	Q3	Q4
Voluntary Leavers	7	14	13	10
Other Leavers	5	1	4	4
Total Leavers	12	15	17	14
External New Entrants	3	10	10	27
Number of Agency Workers	4	4	2	3
Headcount	1406	1392	1427	1435
55 and over	423	428	442	445
% of headcount	30.09%	30.75%	30.97%	31.01%

What is our Workforce information telling us?

The figures for Service Improvement and Partnerships currently includes sickness absence figures for Building Cleaning and Catering. HR have been informed of this and a request has been made to move Building Cleaning to the Communities Directorate.

Building Cleaning
Q3 = 5.38%, Q4 = 4.92%

Catering
Q3 = 5.01%, Q4 = 5.86%

Service Improvement & Partnerships
Q3 = 0.69%, Q4 = 0.06%

Service Improvement and Partnerships Unit

Year end figures impacted by periods of long-term sickness absence at the start of the FY by 3 staff members of a team of 25.

Customer Services 01.10.2021 - 31.03.2021

Short Term sickness:
7 staff members with short term absence totalling 15 days

Long Term sickness:
5 staff member with long term absence totalling 338 days

Other:
1 staff members C-19 positive totalling 13 days

Procurement and Information Governance.

All sickness absence is managed in line with Council policy. In relation to the long term sickness we work closely with employees in conjunction with HR to develop and agree a flexible working approach to help employees back into the work place.

Digital Services

All sickness absence is managed in line with Council policy and we work closely with HR where necessary.
5 staff members on long term sick

General

It is also important to note that during 2020-21, there will also have been staff absences related to COVID including shielding and self isolation. Whilst many of the staff within Corporate Services have been working from home and able to continue to work despite such restrictions, some have not been able to and have had to report absent from work. This would be in addition to sickness absence.

Resources - Finance & Assets



Corporate Services Directorate	Original Estimate 2020/21	Revised Estimate 2020/21	Anticipated Outturn 2020/21	Anticipated Variance 2020/21	Comments
Net Revenue	£000's	£000's	£000's	Under / (Over)	
Chief Executive	206,353	207,821	311,180	(103,359)	
Director Education & Corporate Services	152,556	153,992	143,015	10,977	
Corporate Finance	1,863,859	1,895,219	885,855	1,009,364	
Business Improvement Services	1,328,015	1,334,961	1,137,181	197,780	
Legal & Governance Support	3,199,484	3,213,165	3,086,197	126,968	
Customer & Digital Services	5,845,047	5,802,819	4,922,101	880,718	
People Services	2,836,629	2,849,423	2,645,313	204,110	
Appropriation to Reserves	0	0	85,000	(85,000)	
Total Corporate Services	15,431,943	15,457,400	13,215,842	2,241,558	

What is our Financial Information telling us?

The level of underspend is higher than anticipated but much of this is due to one-off Covid-19 related funding received from the Welsh Government. A detailed report on the 2020/21 Provisional Outturn position across all Directorates was presented to Cabinet on the 7th July 2021, followed by Council on 13th July 2021. This report included a range of proposals for the earmarking of underspends for specific purposes in a number of areas.

What is our Assets Information telling us?

Risks



Ref & Links	Topic (& Service)	Risk, opportunities and Impact	Mitigation Actions (What actions can we take to address the risks or realise the opportunity)	Progress Update (Are the mitigating actions reducing the risk or realising the opportunity?)	Risk Level 2019-20 Q4	Risk Level 2020-21 Q1	Risk Level 2020-21 Q2	Risk Level 2020-21 Q3	Risk Level 2020-21 Q4	Does the risk affect the Well-being of our Communities?	Well-being Risk Level
CorpDIR01 (Linked to CMT01)	Exit from the EU (Brexit)	<p>The decision to leave the EU and the looming deadline to secure an exit deal has created considerable uncertainty.</p> <p>Moving forward it is difficult to determine what impact the exit from the EU will have in the medium to longer-term for Caerphilly CBC and our communities. However, in the short-term possible negative impacts from a no deal scenario include the potential for workforce supply shortages in some areas and the possibility of some disruption to the supply of goods and services.</p>	An internal Brexit Working Group has been established consisting of key staff across all Directorates. There is also cross-party political representation on this Group. The Council has also set aside £1m to meet any short-term financial impacts arising from Brexit.	<p>The Brexit Withdrawal Agreement was signed in January 2020 and the transition period ended on the 31st December 2020. The recently agreed withdrawal deal has resulted in the UK leaving the EU at the end of December 2020. Officers will continue to work with the WLGA in establishing what the recently agreed deal means for Welsh Local Government.</p> <p>Following the signing of the withdrawal deal the Council reconfigured its internal arrangements and established a Brexit Strategic Group consisting of key Heads of Service and cross-party political representation. This Group was supported by a Brexit Operational Group which focussed on key issues, actions and mitigation across all service areas. Although a deal is agreed there will be implications for the Council to manage and this will add additional burdens on key staff that are already fully committed on dealing with the ongoing impact of Covid-19.</p> <p>Key risks have been identified in respect of potential disruption to the supply chain; potential increases in prices for goods and services; potential impact on the supply of labour, particularly for commissioned services; and potential negative impacts on small businesses in the short to medium-term, along with the potential for a lack of inward investment in the longer-term. This list is not exhaustive and the Brexit Strategic Group met during the last quarter of the 2020/21 financial year to ensure that all potential impacts were considered and monitored. The Group has now been stood down and any service impacts moving forward will be identified and reported through Directorate Management Teams and the Corporate Management Team.</p>	Medium	Medium	Medium	Medium	Medium	Potential impacts are not yet fully understood but they are likely to be felt over the short, medium and longer-term.	Unable to assess currently due to the level of uncertainty.
CorpDIR02 (Linked to CMT02)	MTFP - All	Failure to identify sufficient savings within Corporate Services to support the MTFP.	This is being managed through regular consideration at Corporate Services SMT meetings. Heads of Service and Finance staff liaising to identify savings proposals.	Details of the 2021/22 Provisional LG Financial Settlement were not released by the Welsh Government until the 22nd December 2020 (normally received in October each year). The Financial Settlement included a 3.1% uplift in WG funding for Caerphilly CBC and the 2021/22 Budget Proposals were endorsed by Council at its meeting on the 26th February 2021. The 3.1% uplift in WG funding along with an increase of 3.9% in the Council Tax meant that no new savings were required for the 2021/22 financial year. The Financial Settlement does not cover the financial implications of the ongoing coronavirus pandemic and these will continue to be funded through grants with the position being kept under close review as we move into the new financial year. The future funding situation for Local Government is likely to be challenging due to the unprecedented fiscal impact of the pandemic and the strain that this will put on public finances for years to come. An updated indicative Medium-Term Financial Plan shows a potential savings requirement for the council of £21.1m for the four-year period 2022/23 to 2025/26. The council's transformation programme will be a key driver in ensuring that financial resilience is maintained in future years.	Medium	Medium	Medium	Medium	Medium	Yes, we need to explain how it affects the Well being of Future Generations in our Communities	Medium
CorpDIR03	Sickness Absence - People Services/ CCBC	Sickness absence across the Authority remains above the Wales average, leading to reduced productivity and negative image of the Authority.	<ol style="list-style-type: none"> 1. Management information in relation to sickness absence is sent to Heads of Service on a monthly basis. 2. Sickness absence is now also be reported via the revised performance management framework. 3. The cabinet Member for Corporate Services is actively monitoring the situation with the Head of People Services. 4. The Managing Sickness Absence Procedure is being reviewed. 5. A Wellbeing Strategy is being developed. 	Sickness absence data is being reviewed to determine the effects of the Covid 19 pandemic and also agile working. Feedback via the staff survey will be critical to understand the position of employees. The Cabinet Member and Chief Executive have asked for a deep dive, with regards to exploring cause and effect of rising sickness absence levels so the right solutions can be put in place.	High	High	High	High	High	No	N/A

Ref & Links	Topic (& Service)	Risk, opportunities and Impact	Mitigation Actions (What actions can we take to address the risks or realise the opportunity)	Progress Update (Are the mitigating actions reducing the risk or realising the opportunity?)	Risk Level 2019-20 Q4	Risk Level 2020-21 Q1	Risk Level 2020-21 Q2	Risk Level 2020-21 Q3	Risk Level 2020-21 Q4	Does the risk affect the Well-being of our Communities?	Well-being Risk Level
CorpDIR04a	Information Governance	New ways of working, time pressures and increasing threats could lead to breaches that result in financial and reputational consequences. Opportunity to demonstrate trust and use information well.	Training, DPIAs, contracts/agreements, privacy notices and Info Asset Registers, audits, report in 6mthly Info Risk Returns, audit compliance, continue suspension of surveillance in line with ICO Undertaking	Reducing risk via: modular eLearning launched but poor member uptake to date; awareness raising via intranet stories, CMT updates (inc Corporate Risk Register), IG Stewards and Go Digital; DPIAs/contracts increasingly used; Internal Audit checklist; data breach methodology; Covid19 Risk Log maintained, covering cyber security and IG; communication to all users from Chief Executive issued Dec 2020, cyber security strategy under development.	Medium	Medium	Medium	Medium	Medium		Medium
CorpDIR04b	Information Governance	Reduce risks to data and storage costs, facilitate implementation of new technology, and ensure reliable records to fulfil FOI S46 statutory requirement and opportunity to benefit service delivery.	Training, tracking systems, governance rules on IT systems, link with Archives Services, report in 6mthly Info Risk Returns	Reducing risk by: continuing hard copy records for disposal now that limited office access is allowed; owners of records on network drives, stale data and open permissions identified; and proposals for leaver emails/Y drives and free-floating docs on networks agreed; all-user comms started; use of Teams expedited during Covid19 requiring records rules to prevent backlogs accumulating.	Medium	Medium	Medium	Medium	Medium	Yes - protection of privacy (Article 8 HRA), Duty to Document and protection of historic records to evidence	7
CorpDIR04c	Information Governance	Increasing request volumes, but failure to respond in statutory timescale could lead to monitoring and enforcement, loss of trust and missed opportunity to make better use of Council data to benefit economy (City Deal project).	Training, Publication Scheme and open data; review charges for requests; follow RM procedures to minimise unnecessary data and speed up retrievals.	Reducing risk via: SMT and service area awareness raising including by IG Stewards; covered in new modular Protecting Information eLearning; new approach to cross-directorate requests. ICO has taken a proportionate and pragmatic approach to regulation to date during Covid 19, but since July expects a more 'normal' approach to request handling; there is a large backlog of requests and methods to resolve are under consideration.	Medium	Medium	Medium	Medium	Medium	Potentially	Low
CorpDIR06	Managing fire risks	The management of fire risk has changed following the fire at Grenfell Tower. Whilst legislation hasn't changed, there is a greater expectation from the Regulators with regards to the management of risk. This impacts greatly on resources to undertake risk assessments and also financially to undertake work required.	Council has recently agreed additional funding to support the employment of 2 fixed term Fire Officers within People Services to undertake risk assessments and to ensure we learn from best / changing practice in a timely manner. There is a great deal of partnership working with SWF&RS to achieve this in a timely and proportionate manner, especially whilst adapting to the pandemic restrictions.	Work continues to be undertaken with Heads of Service and Headteachers and will continue to be subject to review. A revised work plan is being produced.	Medium	Medium	Medium	Medium	Medium	Potentially	Low
CorpDIR09	Funding	Issues around WHQS Funding. Any withdrawal - Digital Services potential 15 People at risk.		There are currently a number of staff across the Customer & Digital Services area (in fact all services areas in the Corporate Services) funded by WHQS. Unable to recruit into posts because they are not sure when funding will come to an end. This is causing big problems. Currently have a supplier relationship officer role vacant because cannot get approval to advertise. Unable to run service on short term funding.	High	High	High	High	High		Medium

ICLIP Key

Involving a diversity of the population in the decisions that affect them;
Working with others in a **collaborative** way to find shared sustainable solutions;
Looking at the **long term** so that we do not compromise the ability of future generations to meet their own needs;
Taking an **integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;
Understanding the root causes of issues to **prevent** them from occurring.

Well-being Objectives



Corporate Services is not directly responsible for a single Well-being Objective, but does contribute to all of the objectives

Well-being Objective 1 – Improve Education Opportunities for all

Well-being Objective 2 - Enabling Employment

Well-being Objective 3 - Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people’s well-being.

Well-being Objective 4 - Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimizes the adverse impacts on the environment.

Well-being Objective 5 – Creating a County Borough that supports a Healthy Lifestyle in accordance with the Sustainable Development Principle within the Wellbeing of Future Generations (Wales) Act 2015

Well-being Objective 6 - Support citizens to remain independent and improve their well-being.

Conclusion



Highlights coming out of the year end information

Customer Services

Automation has started to embed itself into the organisation and people are seeing the benefits - not only from ROI but the improvements it is making to services that benefit the residents
MiCC rollout of technology, culture shift over the last 12 months with service areas recognising the benefits are sharing the same telephony system. Improves the ability to handle calls, but also makes the authority more resilient
When face to face services are not available people will automatically channel shift. From an accessibility perspective we need to ensure that our services are accessible to all, but we also need to keep the momentum of change going. This will mean our access points, will be available to those who need us most.

Procurement and Information Services

Successful implementation of the network infrastructure replacement across 86 schools. There were complexities and unforeseen delays due to access constraints and the use of new technology, however all implementation was complete within associated timescales. Effective support was provided in relation to digitally excluded learners and enabled blended learning via the use of devices and Mifi connectivity.

The DPS provided a support mechanism on an all Wales basis (22 x LAs & Welsh Government) in order to meet the requirements of numerous initiatives that needed to be implemented due to the pandemic. In addition there were supply constraints due to Covid restrictions and other world issues e.g. US restrictions placed on China etc. However we were successful in securing devices across Wales (in excess of 105,000) during this difficult period working directly with manufacturers and the Suppliers. It should be noted that the devices secured were in accordance with the original specification and associated warranties.

Data incidents are reported to CIGU, which is welcome, as without prompt reports we cannot mitigate risk. Recommendations identified as a result of a breach report are actioned. Significant steps have been taken to raise awareness of cyber risk, with cyber now reflected in the corporate risk register and regular updates provided to CMT. This will be reinforced in our forthcoming Cyber Security Strategy.
Information requests have been responded to, despite officers being redirected to the Covid response and office closures preventing access to records.

Digital Services

The Service reacted well to the Business' requirement to become agile to continue provision of services during the pandemic.
The importance of ICT to the Business has been evident in the past 12 months, and there is an acknowledgment that technology can help in the transformation of service delivery.
The use of technology such as Microsoft Teams and Mitel MiiColab to deliver virtual meetings and collaboration had a significant impact on continuity of services.
Digital Services have been proactive in its acceptance of new technologies, for example the implementation of new network infrastructures in schools.
We have developed a vision for the future through several strategies, helping to redefine technology usage as part of the transformation programme.

Transformation Strategy

10 ambitious corporate reviews have been agreed and a dashboard developed to ensure a robust means of monitoring their progress against agreed outcomes. There has been an outstanding response to a call for staff volunteers to become part of the review teams. Significant progress is being made with a number of policies lined up for consideration by Cabinet from April on ie Workforce Development Strategy, Volunteering Policy. Audit Wales are providing oversight to the transformation programme and meet with the team si-weekly.

What have we learnt and what needs improving and why?

Customer Services

Our website needs to be revamped to make it easier for residents to access services online
The last year has seen us fire fighting dealing with the pandemic and the impacts it has had on residents. We now need a clear programme for digital programme for automation and form building

Completed Priority Actions from last Quarter	By Whom	By when	Update
Well-being principles to be developed in to a framework Wellbeing Strategy for consideration	Lynne Donovan	Apr-19	Principles established, Strategy still under development.
Self Assessment Corporate Governance Review	Ed	Mar-20	Agreed with WAO that having concluded the draft Governance Self Assessment we can determine jointly the areas that we agree need to be strengthened over future years
Ensure maximum grant funding is drawn down for the Hwb programme	Ed/LL	Mar-20	Successfully drawn down money for first two years of waves of EdTech
The first set of Directorate Performance Assessments went to their relevant Scrutiny's for the first time and Cabinet received the Corporate Performance Assessment.	RR	Mar-20	Members will receive the year end DPA in Scrutiny in September to follow up on their receiving the first 6 month update. Members expressed positive feedback in receiving information in this format.

Feedback / Recognition / Actions from Corporate Management Team	By Whom	By When	Update

Priority Actions for next Quarter (What support is needed from Corporate Management Team)	By Whom	By when	Update
To explore the breakdown of FOI to identify which services have greater volumes and delays. This enable better targeting of who may need support	EE		
To review methods of undertaking a deep dive (as requested by Cabinet Member and Chief Exec) to better understand and address the growing sickness absence	EE		
To review and gain greater knowledge on cyber security risk	EE		