

# Corporate Services Directorate Performance Assessment



## 2021/22 Six Month Q1 & Q2 Update

Please select a section of your choice:

Directors Summary & Priorities



Performance



Customer Intelligence



Resources



Risks



Well-being Objectives



Conclusion



## Directors Self Assessment Summary



### 2021/22 Six Month Q1 & Q2 Update

During the first six months of 2021/22 the Council has continued its response to the COVID-19 pandemic while bringing many services back on stream and delivering strong progress against the Corporate Reviews and PlaceShaping aspects of the Team Caerphilly Transformation Programme. The sustained pressure on staff to continue to run the organisation at while attempting to change the organisation and respond to the challenges of the pandemic cannot be underestimated and they have begun to take their toll. The pressures are further exacerbated when taking in to account sickness absence levels, staff self isolation and challenges in recruiting to particular roles across Corporate Services. The staff have been beyond exceptional and their collective efforts need to be recognised as significant achievements.

The external recognition received shows just how well Caerphilly have done in this regard. Over the course of the first six months of 2021/22 the Council has been shortlisted at the prestigious LGC Awards for Council of the Year. The Chief Executive was highly commended at the MJ Awards having been shortlisted for Chief Executive of the Year. Our Catering Team won the APSE Award for their efforts in feeding some 6000 Free School Meal pupils across Caerphilly and Clr Etheridge was also successful at the LGIU Awards in being recognised as Community Champion of the Year. An incredible effort all around.

### Priorities

Title	Completion Date	RAG	Progress - Achievements - Impacts
<b>Strategic Objective 1 - Lead &amp; support the organisation's Team Caerphilly Transformation Programme</b>			
1.1 Lead the delivery of the PlaceShaping Programme		●	A range of PlaceShaping projects have progressed toward completion during the time period and others have been initiated. A six month update report will be received by P&R Scrutiny and Cabinet in November setting out detained progress.
1.2 Lead the Remote Contact Corporate Review		●	New telephony system rolled out to over 200 call agents. Discovery phase of new public website and staff intranet. Digitisation of customer complaints nearing completion
1.3 Lead the Workforce Development Corporate Review		●	Workforce Development Strategy and Well-being Strategy agreed in September. E168k outturn approval for workforce development function, appointments to team in progress.
1.4 Lead the Sustainable Financial Planning Corporate		●	Budget strategy for 22/23 being discussed. Identifying opportunities for greater return on investments. Outcome reporting and linking to the MTFP being improved. Financial Regulations being reviewed. Internal invoicing process data gathering complete and options to streamline being considered.
1.5 Lead the Information, Insight and Intelligence Corporate		●	Working with external data transformation experts to audit data use and look at options to join up data sets for better use. Digital Solutions Board created to advise on new software to reduce reliance on legacy applications an maximise the benefit of our ES licence.
1.6 Lead the Decision-Making Corporate Review		●	Data gathering on governance in other Councils being analysed. Options paper being prepared to review pros and cons. Training modules for staff and flow charts to assist with understanding to follow.
1.7 Support the Agile Working Corporate Review		●	Data on staffing/locations/equipment being analysed. Categorisation of role and equipment records updated. Analysis of assets base underway. Policy review has identified those that need updating. Trial of docking stations in digital services. Agile workspace ground floor Ty Penallta complete
<b>Strategic Objective 2 - Continue to refine the Council's Governance arrangements to ensure they remain fit for purpose and compliant with legislative requirements</b>			
2.1 Set a balanced budget for the Council for the 2022/23 financial year		●	Details of the WG 2022/23 Provisional Local Government Financial Settlement will not be announced until the 21st December 2021. Work is currently underway to identify inescapable cost pressures and potential savings and the 2022/23 Draft Budget Proposals will be presented to Cabinet on the 19th January 2022. Following a period of consultation the 2022/23 Final Budget Proposals will then be presented to Cabinet on the 23rd February 2022 and Full Council on the 24th February 2022.
2.2 Implement the Programme for Procurement within agreed timescales		●	Implementation of the Programme for Procurement (2018-2023) is ongoing. This together with other Procurement Policies and Procedures were subject to a Wales Audit Review in September 2021 with positive response and feedback received from the Auditor in October 2021. A number of areas were covered during the Audit.
2.3 Develop and embed a Social Value Policy for Caerphilly		●	Social Value Policy agreed by Cabinet in July 2021. Policy and Themes, Outcomes and Measurement Methodology published on Intranet and Council Website. Next steps on approach to embed in the wider Council to be progressed in early 2022.
2.4 Support the implementation of the Social Partnership and Public Procurement (Wales) Draft Bill		●	Awaiting next steps from Welsh Government consultation undertaken and Council responded accordingly and will continue to participate in future consultation sessions.
2.5 Design and embed any changes emerging from Public Procurement Reform		●	Awaiting next steps on the new Procurement Regulations from UK and Welsh Government. Actively monitoring updated information and Procurement Policy Notices together with attending fortnightly meeting with Welsh Government and WLGA representatives.
2.6 Support the implementation of the Local Government & Elections (Wales) Act		●	Monthly meetings are taking place with the relevant officers. The action plan is updated at the meeting and an update is provided to Formal Corporate Services SMT each month. Any actions that are behind or any emerging risks that have been identified are discussed at the meeting and progress is being made. The action plan is on track and there are no emerging risks at present
2.7 Continue to refine and further embed the Corporate Performance Framework to meet the Self-assessment aspects of the above legislation		●	The year-end DPA's & CPA went to Scrutiny and Cabinet in September/October and have been placed on the Business Improvement portal in the intranet. The process is established. However, some refinement elements still exist to improve the involvement aspect to meet the performance duty A survey has been designed to send to managers to gain more information about the use of the DPA to strengthen the 'involvement' section in how we judge progress
2.8 Deliver the Well-being Assessment and progress the development of a whole Gwent Public Services Board (PSB)		●	The Gwent Public Service Board (PSB) is now in existence and we (CCBC) are carrying out the administration for the regional board with CCBC Leader being the chair. The first meeting was held 1.10.21. Membership and Terms of Ref meet the statutory requirements and meetings are in diary for next 2 years. A PSB development session is planned 7.12.21. and the Caerphilly Local Delivery Group has been formed to support the Board and deliver on plans. The Well-being Assessment work is slow. Regional working has introduced delays. CCBC is picking up slack and appointing a WG funded Policy Officer on behalf of the region to move things forward. Some concerns that the document is not of the quality it would have been if it had been done internally. There is time to pull it back by next May which is the deadline to complete the assessment.
2.9 Manage the improvement work emerging from recommendations or proposals for improvement made by Audit Wales		●	The next Proposals Register update will go to Governance and Audit Committee on 25th January. There are less proposals than usual due to reduced work from the AW due to the pandemic. This part of the reporting process is well established with the proposals being placed in the DPA's so local monitoring can take place. We now need to 'refresh' the mechanism for agreeing what committees the AW outputs are reported to. Our regulator is going on secondment so this maybe a discussion with their replacement at the regular liaison meeting.
<b>Strategic Objective 3 - Develop and refresh employee working practices that support the Team Caerphilly ethos and the emerging organisational culture</b>			
3.1 Develop and Embed a Well-being Framework for Caerphilly		●	Employee Wellbeing Strategy 2021 - 24 agreed by Cabinet on 29th September 2021. The action plan within the Strategy now needs to be implemented.

Title	Completion Date	RAG	Progress - Achievements - Impacts
3.2 Undertake a Policy Refresh Programme		●	A number of HR and H&S Policies and Procedures are being reviewed to support the Agile Working Corporate Review. Other HR policies are also being reviewed.
3.3 Develop a Learning and Development function for the organisation		●	The report to Council dated 13 <sup>th</sup> July 2021 entitled 'Provisional Revenue Budget Outturn for 2020/21, included a proposal to set aside funding of £168k to appoint staff on a one year fixed-term basis to undertake the initial planning and scoping required for delivery of coordinated workforce development function across the Council, which Members agreed. The recruitment for these posts has recently taken place and work is now commencing to scope learning and development across the Council.
<b>Strategic Objective 4 - Support the implementation of modern, fit for purpose approaches to decision-making and local democracy</b>			
4.1 Implement a Hybrid Remote Meeting approach for the Council	May 22	●	A report will go to the cabinet in December requesting funding that will allow the chamber and meeting rooms to be fitted out with hybrid meeting technology.
4.2 Support the delivery of the Local Government Elections (May 2022)	May 23	●	Preparations will begin in the new year for the holding of the 2022 local government elections. The council is one of a number of pilot areas in Wales where early physical voting will be permitted during the weekend prior to polling day.
<b>Strategic Objective 5 - Continue to develop an IT environment that is secure, drives organisational transformation and enables efficient service delivery</b>			
5.1 Deliver and implement the ICT Strategy and Digital Strategy		●	Progress has been made on securing dedicated resource to further deploy Microsoft 365. A draft project plan has been developed for the roll out of M365 and will be shared as appropriate. Initial priority will be to move email into the Microsoft cloud. Progress has been slow due to difficulty in recruiting into the Cloud team.
5.2 Continue to support an all Wales ICT Procurement for Hwb Programme		●	Established a Dynamic Purchasing System (DPS) on behalf of all twenty-two Councils in October 2019. 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 Councils make in Wales. The DPS is 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.  During FY21/22 to date the following has been established/ undertaken: Lot 1, Networking and Associated Equipment (separate mini competitions for individual Councils); Lot 2, End User Devices (new order form) covering Education and Corporate sites; & Lot 3 Teaching and Learning Tools (new order form) and separate mini competition for Headsets & Accessories.  The overall spend to date via the DPS is circa £111 million since service commencement via Welsh Government and individual Councils funding with circa £22.5 million of spend during FY21/22 to date.  Workshop undertaken with representation from various Councils on 12 October 2021 to discuss lessons learned of the EdTech Service and DPS since implementation. e.g. what went well and what was challenging and to explore future service provision. There was overwhelming support for this to continue and a future workshop to explore opportunities and shape the future provision to be scheduled in early 2022.
5.3 Ensure the Councils Cyber Security Policy remains fit for purpose		●	Cyber Security/Resilience Policies and Procedures under review. Silverthorn Associates commissioned to assist with various work streams in relation to information assurance and risk advice together with reviewing and providing a gap analysis on Cyber Resilience, Data Protection and Information Governance policies and associated procedures. This work will inform the proposed Cyber Strategy, Action Plan and associated Policies and Procedures.  The following sessions and exercises have been undertaken during FY21/22:  Friday 10 September 2021 – Presentation to Management Network on matters in relation to Cyber Attacks such as Copeland. This is awareness raising, giving a live example of an attack, the impact and what you need to do to prepare and recover from such an attack.  Monday 11 October 2021 – SIRO Training Leadership Team. This session highlighted what we need in place as a Council in terms of information risk.  Monday 15 November 2021 – Cyber Attack Exercise (who, what when etc.) with relevant Cabinet Member & Leadership Team. This session will be a cyber attack workshop whereby business recovery plans to be considered and subsequently updated.  Monday 22 November 2021 – Cyber Attack Exercise Debrief/ Feedback Session (what went well, what didn't, next steps etc.) with relevant Cabinet & Leadership Team. Following the debrief there will be a need to reflect and update all our processes, procedures and plans.  Caerphilly CBC Bobs Business Phishing Campaign - The purpose of the exercise that's being undertaken in conjunction with Welsh Government is to educate those that may fall victim to a phishing email by providing them with the relevant information to stay protected. This will also ensure a safer working environment for all staff and keep the organisation more secure from cyber-attacks.
5.4 Ensure the Councils Information Governance arrangements continue to be developed and appropriately applied		●	Currently reviewing Corporate Information Governance arrangements this includes:  Review and modernising of processes and procedures including automation; A fit for purpose information governance project team and information governance panel; Leading on collaborative working with neighbouring Councils on Schools Contractual matters in conjunction with Blake Morgan following Brexit; & Development of an Information Governance Strategy and associated Action Plan.
<b>Strategic Objective 6 - Maximise the Council's financial position and resilience</b>			
6.1 Develop the MTFP and link to the TeamCaerphilly Programme		●	An updated MTFP will be presented to Cabinet/Council in February 2022. This will be based on the three-year period 2022/23 to 2024/25 and will identify the potential budget shortfall for each year. Further work will then be required to identify what financial savings will be delivered through the Transformation Programme to help offset the projected financial gap. It will also be important to capture details of productivity gains and cost avoidance achieved through transformation. The Transformation Team is in the process of developing an approach to ensure that all of this information can be evidenced and recorded. Review IT contracts with aim to consolidate and make use of existing investments in new technologies such as Microsoft 365.
6.2 Finalise the Schools PFI Review		●	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 December 2021.
6.3 Continue to develop and refine the Council's Investment Strategy		●	£21m has been placed in longer-term investments during the current financial year which is resulting in improved returns. Our overall yield is currently 0.7%, which compares favourably with the 0.25% average return for other Welsh Local Authorities. We are continuing to work with our Treasury Advisors (Arlingclose) to identify further opportunities to improve returns.

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
5	Amber	Started with reasonable progress achieved
23	Green	Going well with good progress
28	Total	

# Performance



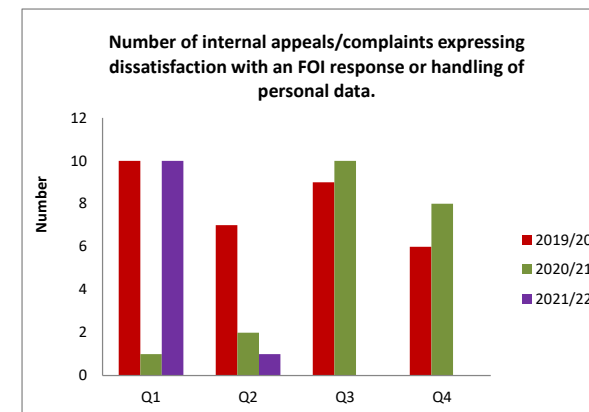
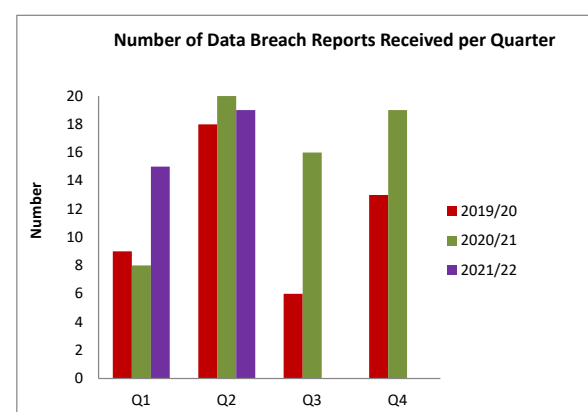
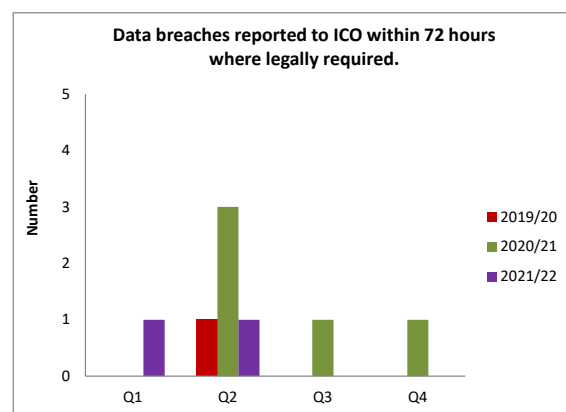
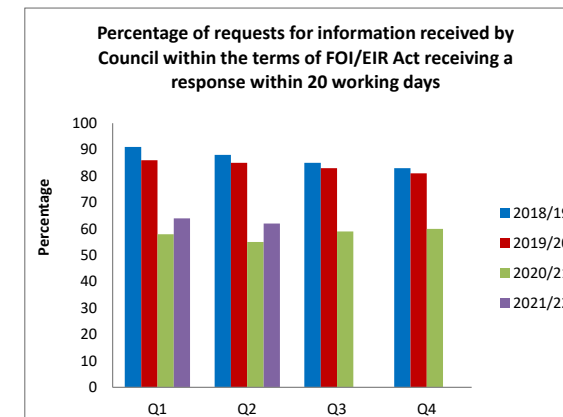
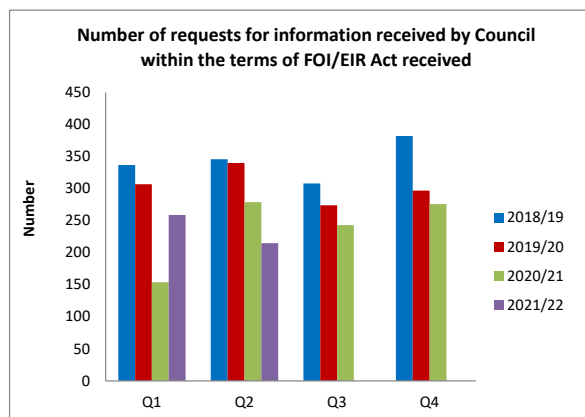
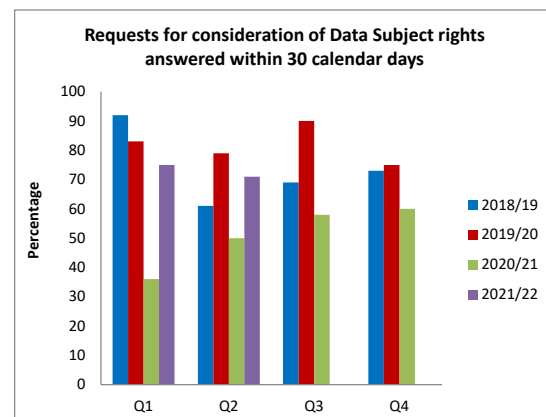
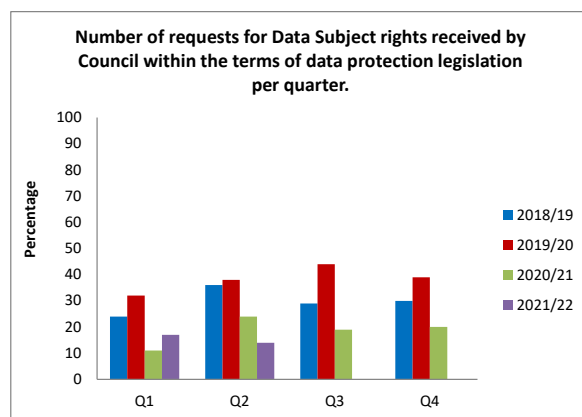
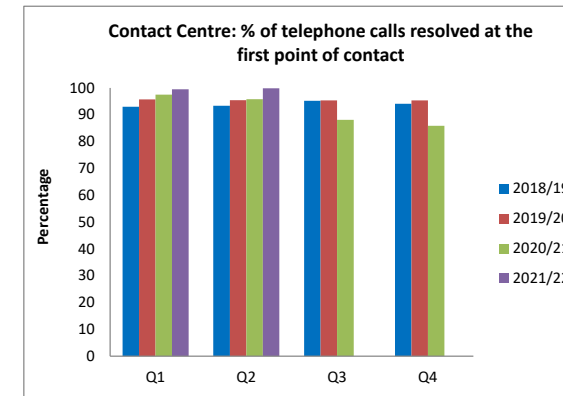
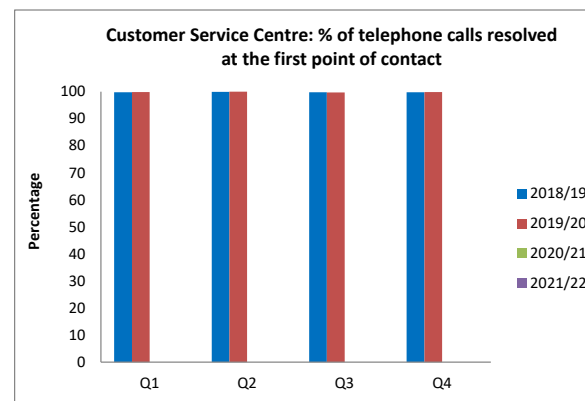
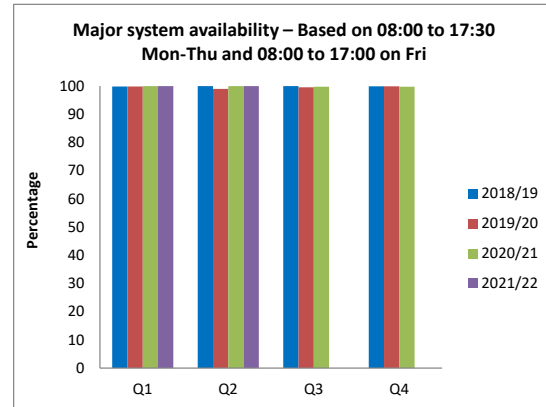
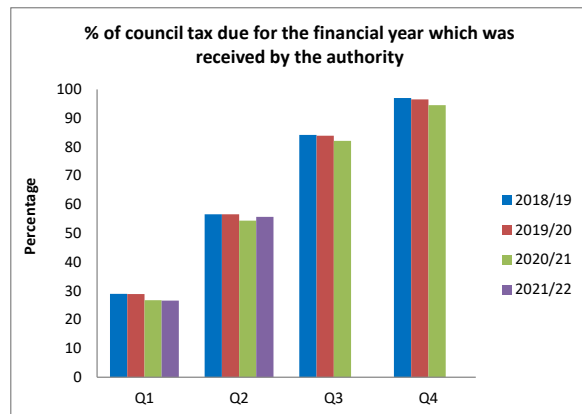
Performance Information	Frequency	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Target	RAG	Comments/Performance Explained
Budget in year Position (over/underspend)	Annual									See Resources tab for more information.
In year savings targeted vs savings delivered	Annual									See Resources tab for more information.
% Sickness absence: Authority	Monthly	3.54%	3.47%	4.52%	4.38%	4.62%	4.73%	4.00%		
% Sickness absence: Corporate Services	Monthly	2.19%	2.02%	3.52%	3.19%	3.64%	3.02%	4.00%		Note: This figure includes Education. Work is being undertaken to identify why sickness absence has increased across the Authority
<b>PAM/001</b> Number of working days lost to sickness absence per employee	Yearly				10 days					PAM Indicator Staff (excluding teachers) - 12 days Teachers - 3.7 days
<b>PAM/044 (New)</b> Number of apprentices on formal recognised apprenticeship schemes per 1,000 employees	Yearly				2.65					PAM Indicator. 22 Apprentices in total in 2020/21
% of council tax due for the financial year which was received by the authority	Quarterly	26.8%	54.40%	82.10%	94.50%	28.60%	55.70%	TBC	N/A	Improved performance compared to 202/21 but at the moment it is not possible to forecast when we might return to pre-pandemic collection levels. The number of cases subject to court action is being limited by the court authorities which means it is taking longer to obtain payment in arrears cases. As we are in uncharted territory, we have not set a collection rate target though we should improve on last year's 94.50%.
% of Annual Spend with Caerphilly based suppliers	Annual				21%			25%		Annual Measure
% of Annual Spend with 'City Deal' based Suppliers	Annual				45%			57%		Annual Measure
% of Annual Spend with Suppliers across Wales	Annual				51%			60%		Annual Measure
Major system availability – Based on 08:00 to 17:30 Mon-Thu and 08:00 to 17:00 on Fri	Weekly (YTD)	99.94%	99.98%	99.73%	99.76%	99.94%	99.98%	99.70%		
% of Contact Centre telephone calls resolved at the first point of contact	Quarterly	97.48%	95.76%	88.18%	85.89%	99.49%	99.88%	80.00%		
% of Customer Service Centre enquiries resolved at the first point of contact	Quarterly	N/A	N/A	N/A	N/A	N/A	N/A	80.00%	N/A	
Number of Complaints Received in Corporate Services (and dealt with within statutory timeframes) YTD	Monthly	0	2	0	1	4	2			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 (whole authority)	Quarterly	11	24	19	20	17	14	N/A		Q1: 17 SARs received, 1 withdrawn. In addition to the 17 SARs that were received, we also received a request for Rectification and we requested further information to help us review the matter but we did not receive a response from the data subject.
Requests for consideration of Data Subject rights answered within 30 calendar days (whole authority)	Quarterly	36%	50%	58%	60%	75%	71%	80.00%		
Number requests for information received by Council within the terms of FOI/EIR Act received per quarter (whole authority)	Quarterly	154	279	243	276	259	215			Q1: 259 requests received, 4 on hold awaiting clarification and 1 withdrawn. Q2: 215 requests rec'd, 3 on hold awaiting clarification.
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 (whole authority)	Quarterly	58%	55%	59%	60%	64%	62%	80.00%		Q1 : out of the 254 valid requests rec'd, 162 were responded to within legal compliance and 10 are still open. Q2: out of the 212 valid requests rec'd, 127 were responded to within legal compliance and 29 are still open
Number of data breach reports received per quarter (whole authority)	Quarterly	8	20	16	19	15	19			Common themes: wrong e-mail address selected from autocomplete drop down menu, e-mail addresses not entered into bcc field when sending email to multiple recipients, information sent to wrong person. Q1 - Communities: 5, Education & Corporate Services: 8, Social Services & Housing: 2 Q2 - Communities: 6, Education & Corporate Services: 10, Social Services & Housing: 3
Data breaches reported to ICO within 72 hours where legally required (whole authority)	Quarterly	0	3	1	1	1	1			Q1: ICO took no further action, Q2: waiting a response from ICO
Number of internal appeals/complaints expressing dissatisfaction with an FOI response or handling of personal data (whole authority)	Quarterly	1	2	10	8	10	1			FOI - internal appeals: Q1: 5 rec'd and in 3 cases the original decisions were upheld, in 1 case the original decision was partly upheld as we hadn't provided all of the information covered by the request and in 1 case, the original refusal was not upheld as the information was already available on our website. Q2: 1 rec'd and the original decision was upheld. FOI - ICO appeal: Q1: 4 rec'd 1 upheld our original decision, 1 our original decision was upheld but found that we had not responded within 20 working days and 2 cases were complaints about our failure to respond within 2 working days - the ICO upheld the complaint in both cases. We also received 1 DS Rights - ICO review in Q1 where the data subject complained that they were not happy with the way we had dealt with their request and the ICO found that we had met our obligations under data protection legislation.

**Performance Explained**

The Council's sickness absence challenges are not unique, in fact these challenges exist across all local authorities in Wales. Along with regular illness the Council has had to deal with COVID-19 cases and associated periods of self isolation which have really impacted the Council's overall resilience and have required careful management.

Through the sustained efforts of staff levels of Council Tax collection are heading back toward pre pandemic levels. We are currently being held back by the speed of recovery action within the courts but with the move to online payments and post office cards now cemented it is clear that Council Tax collection levels are heading in the right direction in spite of the early pandemic difficulties.

Data Subject Request and FOI performance has continued on an upward trend and has done so in spite of the loss of the Information Governance Manager and the following restructure within the Team. DSR levels are now amber which is an improvement of around 10-15% on the previous six months. The FOI performance is more modest but continues to head in the right direction.



## Customer Intelligence



### What is our customer intelligence telling us?

#### Complaints - Corporate

##### Quarter 1 - 3 complaints

1. Home care charges - Stage 1 that escalated to Stage 2, upheld.
2. Having to pay Council Tax after being told that the account was clear - Stage 1, upheld.
3. Information Governance Complaint - Stage 2, not upheld.

##### Quarter 2 - 7 complaints

1. Issuing of completion notices by Council Tax - Stage 1, not upheld.
2. Housing Benefits payments - Stage 1, not upheld.
3. Business Rates - Stage 1 that escalated to Stage 2, not upheld.
4. Letter from Electoral Services not bilingual - Stage 1, upheld.
5. Council Tax refund on deceased relatives property - Stage 1, upheld
6. Council Tax account - Stage1, not upheld.
7. Complaint to Customer Services about bulky waste collection - Stage 1 that escalated to Stage 2, not upheld.

#### Complaints - Informal (Customer Services)

##### Four complaints received

1. Collection of Fridge and Website Information - Customer unhappy that CCBC do not collect white good such as Washing Machine, Fridges, Freezers etc. Customer also advised that website only states Fridge Freezers and not Fridges. Website content is provided by Waste Management and not Customer Services.
2. CCBC Bereavement Webpage - Customer advised that section on CCBC Bereavement webpage does not auto generate an email response.
3. Waste Management Queue - Customer contacted Switchboard to advise that he wanted garden waste bags, when transferred to the Waste Management line he was placed into a queue as the advisors were on other calls.
4. TV Filming Ludlow Street and Claude Road - TV crew, actors and extra's filming in Ludlow Street and Claude Road in the early hours of the morning. Worried about parking, noise and road closures. This complaint was for Communications, a response was provided to the customer advising that CCBC were assured by the production company that all appropriate steps had been taken to minimise disruption to local residents. Along with letter drops and a representative from the TV crew in the area over recent days to engage the community, including the local resident's association, to discuss the planned activity.

#### Complaints with an equalities and/or Welsh language element

##### There were 2 complaints in Quarter 2.

##### Welsh Complaint

##### Multiple concerns raised:

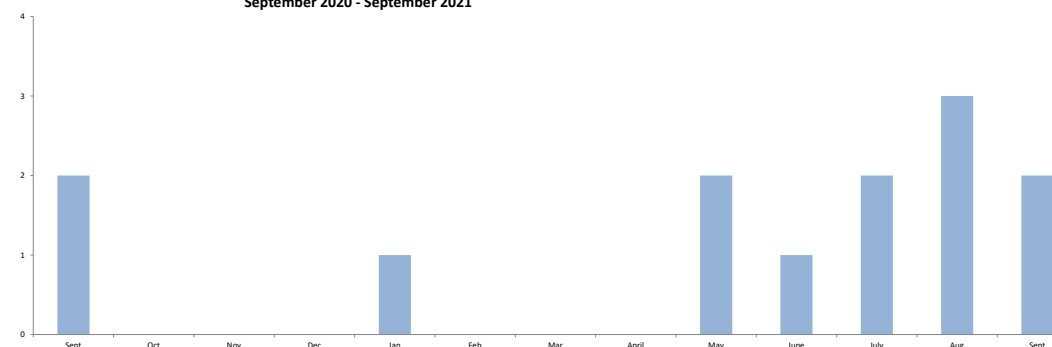
- Electoral Services letter contained English web link in the Welsh text
- Complaints Officer couldn't conduct the call in Welsh and insisted that the complainant submitted the complaint in writing going against what is stipulated in the Complaints Policy
- In future they want to speak to someone in Welsh when they complain
- Complaints page on website only gives an email address as a contact – there is no Tel No. or Textphone No.
- Colin the Chatbot does not work properly

The complainant received a response and all the points raised addressed. Complainant satisfied with the response

##### Disability Complaint

Complaint in Economy & Environment Directorate

Number of complaints in Corporate Services  
September 2020 - September 2021



#### Satisfaction

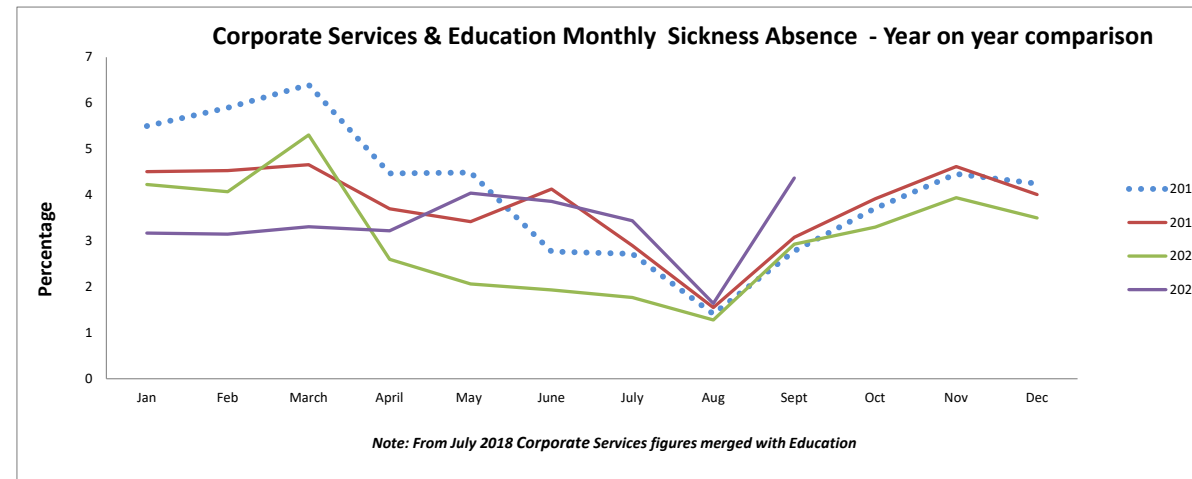
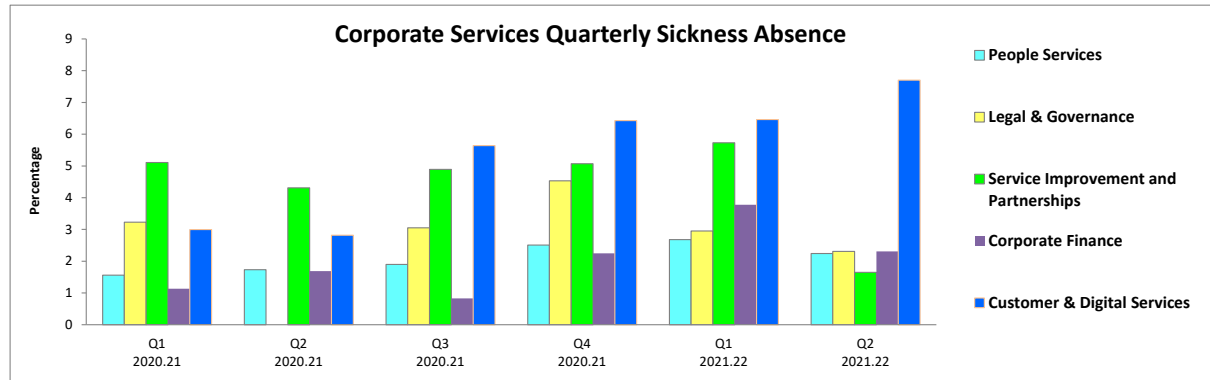
### Other Points of Note

LT – High level of sickness is impacting delivery of services, this is resulting in high levels of support calls and projects progressing slowly. Creation of a dedicated school support team will remove the workload in this area from the existing team. The problems for recruiting is leaving key areas without experience and adding to the workload of others, progress in some areas will be slower until the experience and knowledge is gained by remaining staff or vacancies are filled.

## 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 - November 2021	Status	Percentage completed
AW Ref 2451A2021-22 Issued June 2021	Financial Sustainability Assessment	P1 The Council should develop and implement a more comprehensive MTFP.	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and updates will be provided in future reports	New	Stephen Harris	Mar-22	An updated MTFP will be presented to Cabinet/Council in February 2022. This will be based on the three-year period 2022/23 to 2024/25 and will identify the potential budget shortfall for each year. Further work will then be required to identify what financial savings will be delivered through the Transformation Programme to help offset the projected financial gap. It will also be important to capture details of productivity gains and cost avoidance achieved through transformation. The Transformation Team is in the process of developing an approach to ensure that all of this information can be evidenced and recorded.	In progress	20%
AW Ref 2451A2021-22 Issued June 2022	Financial Sustainability Assessment	P2 The Council should examine the processes in place for its annual budget setting, and for its in-year budget revisions and outturn reporting. As part of review, given significant underspend the Council has in recent years, it should assess whether the process needs strengthening. Should then identify and implement any actions for improvement	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and updates will be provided in future reports	New	Stephen Harris	Ongoing	Work on the 2022/23 budget is currently underway. Finance Managers have met with Heads of Service to identify service pressures and potential savings and these will now be discussed with Directors. Meetings have been scheduled with CMT and Cabinet throughout December leading up to the Provisional Settlement announcement on the 21st December. The 2022/23 Draft Budget Proposals will be presented to Cabinet on the 19th January 2022 and a period of consultation will follow. The Final Budget Proposals will be presented to Cabinet on the 23rd February and then Full Council on the 24th February.	In progress	20%
AW Ref 2451A2021-22 Issued June 2023	Financial Sustainability Assessment	P3 Help address funding gap identified in the MTFP, by developing programme of financial benefits from the Transformation Programme activities. Financial benefits arising are clearly defined and communicated and reported to members.	This will be progressed through the 'Sustainable Financial Planning' Corporate Review and updates will be provided in future reports	New	Stephen Harris	Ongoing	An updated MTFP will be presented to Cabinet/Council in February 2022. This will be based on the three-year period 2022/23 to 2024/25 and will identify the potential budget shortfall for each year. Further work will then be required to identify what financial savings will be delivered through the Transformation Programme to help offset the projected financial gap. It will also be important to capture details of productivity gains and cost avoidance achieved through transformation. The Transformation Team is in the process of developing an approach to ensure that all of this information can be evidenced and recorded.	In progress	20%
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 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.	Lynne Donovan	Autumn 21	The Workforce Development Strategy 2021 - 24 was agreed by Cabinet on 29th September 2021. The Strategy contains a Workforce Planning Toolkit for Managers to support Managers to consider future workforce planning needs. Meetings have taken place between HR and all Heads of Service to consider recruitment in each service in particular how to prospective applicants can enter the Council's employment.	In progress	75%

## Resources - Staff



Q1 Monthly Breakdown	April			May			June		
% Sickness Absence	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %
People Services	0.94	2.61	3.55	0.47	2.34	2.81	0	1.53	1.53
Legal & Governance	0	3.09	3.09	0.13	2.82	2.96	0	2.80	2.80
Service Improvement and Partnerships	1.35	3.46	4.81	1.99	3.99	5.98	1.46	4.81	6.27
Corporate Finance	0.53	2.84	3.37	1.26	3.26	4.51	0.81	2.21	3.01
Customer & Digital Services	1.28	4.49	5.77	1.57	5.15	6.72	0.42	6.36	6.78

Q2 Monthly Breakdown	July			August			Sept		
% Sickness Absence	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %	Short Term	Long Term	Overall %
People Services	0.36	0.38	0.74	1.66	1.02	2.68	1.22	2.11	3.33
Legal & Governance	2.23	2.88	5.11	0.27	0.67	0.93	0.89	0.00	0.89
Service Improvement and Partnerships	0	0	0	0.83	0	0.83	1.49	2.64	4.13
Corporate Finance	0.07	2.54	2.60	0.21	2.03	2.24	1.21	0.91	2.12
Customer & Digital Services	0.92	6.89	7.81	0.59	6.94	7.53	1.54	6.22	7.76

Corporate Services Workforce Information		
	Q1	Q2
Voluntary Leavers	7	11
Other Leavers	0	0
<b>Total Leavers</b>	<b>7</b>	<b>11</b>
External New Entrants	6	15
Number of Agency Workers	3	2
<b>Headcount</b>	<b>1022</b>	<b>483 *</b>
<b>FTE</b>	<b>613.82</b>	<b>433.13 *</b>
55 and over	291	109
% of headcount	28.47%	22.56%

\* Catering is now included under Education

Building Cleaning is now included under Economy & Environment

### What is our Workforce information telling us?

Sickness levels are high but for the most part the challenge appears to be in relation to officers with long term sickness absence conditions.

The levels of staff employed across Corporate Services have remained fairly steady through Quarter 1 and 2 of 2021/22 in fact, there has been a slight net increase.

The Cleaning function which was previously reported through this DPA has now been relocated within Economy and Environment in accordance with its new line management arrangements. This migration has also contributed to a 6% reduction on the workforce over 55 employed within Corporate Services.

## Resources - Finance & Assets



Corporate Services & Miscellaneous Finance	Original Estimate	Revised Estimate	Anticipated Outturn	Anticipated Variance	Comments
	£000's	£000's	£000's	Under / (Over)	
Chief Executive	208	208	198	10	
Director Education & Corporate Services	154	154	157	(3)	
Corporate Finance	1,888	1,888	1,683	206	
Customer & Digital Services	7,024	7,024	6,645	380	
Legal & Governance Support	3,225	3,225	3,229	(5)	
People Services	2,979	2,979	2,850	129	
Business Improvement Services	1,540	1,540	1,382	157	
Property Services	4,949	4,949	5,007	(59)	
Housing (Non-HRA)	1,657	1,687	1,626	61	
Miscellaneous Finance	50,973	52,139	51,432	708	
<b>Total Corporate Services &amp; Miscellaneous Finance: -</b>	<b>74,596</b>	<b>75,793</b>	<b>74,209</b>	<b>1,584</b>	

### What is our Financial Information telling us?

The figures in the table above are based on information available as at Period 5 of the 2021/22 financial year. A budget monitoring report was presented to the Policy & Resources Scrutiny Committee on the 9th November outlining the reasons for the projected variations against budget.



### What is our Assets Information telling us?

At present, the majority of corporate buildings are closed to the public and services are being largely delivered online. Staff are working in an agile manner with the majority being in the office a couple of days a week and remote a couple of days a week. All of this has created spare capacity within our buildings. It is likely that if the current way of working continues that the Council will require less buildings over the long term although this is a consideration of the Agile Review.



## 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 2020-21 Q3	Risk Level 2020-21 Q4	Risk Level 2021-22 Q1	Risk Level 2021-22 Q2	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>	<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>	<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. Key risks were 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> <p>In response to the Covid-19 outbreak a Business Support Group was established to monitor the impact of the pandemic on local businesses and to ensure that available grant funding was channelled effectively. This Group will continue to meet but its focus will now turn to providing strategic advice to the Corporate Management Team and Cabinet on significant matters arising for businesses in the local economy related to the UK's withdrawal from the European Union.</p>	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 and Heads of Service and Finance staff liaising to identify savings proposals.	Details of the WG 2022/23 Provisional Local Government Financial Settlement will not be announced until the 21st December 2021. Work is currently underway to identify inescapable cost pressures and potential savings and the 2022/23 Draft Budget Proposals will be presented to Cabinet on the 19th January 2022. Following a period of consultation the 2022/23 Final Budget Proposals will then be presented to Cabinet on the 23rd February 2022 and Full Council on the 24th February 2022. At these meetings Cabinet and Council will also be presented with an updated Medium-Term Financial Plan (MTFP). Moving forward the Council's Transformation Programme will be the key driver in ensuring that financial resilience is maintained and that balanced budgets are delivered year on year.	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"> <li>1. Management information in relation to sickness absence is sent to Heads of Service on a monthly basis.</li> <li>2. Sickness absence is now also be reported via the revised performance management framework.</li> <li>3. The Cabinet Member for Corporate Services is actively monitoring the situation with the Head of People Services.</li> <li>4. The Managing Sickness Absence Procedure is being reviewed.</li> <li>5. An Employee Wellbeing Strategy 2021 - 24 has been agreed.</li> </ol>	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. The impact of Covid is being monitored.	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 2020-21 Q3	Risk Level 2020-21 Q4	Risk Level 2021-22 Q1	Risk Level 2021-22 Q2	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 and Information governance strategy under development. Refreshed eLearning, new modules and new Knowledge Tests planned for launch April 22. Member IG / Cyber Security training planned as part of member induction planned for June 22 to mitigate poor member uptake of eLearning. Senior Officer Cyber Security training and awareness underway, inc. presentation to Management Network on cyber attacks (10/09/21), SIRO / Leadership Team training on information risk (11/10/21) and cyber attack exercise and debriefing (15/11/21 & 22/11/21).	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. Exercise underway with volunteer IG Reps to refine and implement workable security markings on documents before launching corporately. Once implemented these will contribute to reducing data breaches.	Medium	Medium	Medium	Medium	Yes - protection of privacy (Article 8 HRA), Duty to Document and protection of historic records to evidence public sector activities	Medium
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. New FOI/EIR/SAR case software being implemented to improve monitoring and compliance of requests and reduce admin burden.	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 and resources are being reviewed.	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 (and some other areas in Corporate Services ) funded on a short-term basis as part of the WHQS Programme. 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		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 supports the delivery of all 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 - what is going well

**Customer Services:** Automation has been embedded into the authority, with more services looking at automation for repetitive high volume tasks. Over 6500 applications for Pupil Development grants processed and payment made without the need for human intervention. This would have required extra resource to be brought in to deal with these requests normally. 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. Channel Shift has taken place over the last 18 months with customers no longer needing to come into the offices to access services.

**Procurement and Information Governance:** Significant progress made across all disciplines within Procurement and Information Services as outlined in the specific sections of the DPA. Cyber Security/ Resilience is high on the agenda with sessions and supporting information organised for Members, Leadership and Management Network. Procurement and Information Governance continue to review and embed policies, processes and procedures in order for the Council to have modern fit for purpose and forward thinking service areas. It is also important to highlight the work undertaken with Schools in relation to the HwB ICT Investment Programme the replacement of the existing network infrastructure is complete. All devices purchased via FY20/21 funding fully distributed to Schools further funding of circa £845k secured via Welsh Government for FY21/22 and utilised to purchase additional devices via the Dynamic Purchasing System. Review of device inventory within Schools currently ongoing to support next steps and future waves of the HwB ICT Investment Programme.

### Legal Services

Electoral Services ran successful Welsh Government and Police and Crime Commissioner Elections in May 2021. Services have managed to be maintained mainly via remote working, with officers attending Ty Penallta where necessary. Committee meetings have continued to be held remotely in accordance with the legislation.

### Transformation

The 10 Corporate reviews are progressing well with particular areas of note during this six month being, the agreement of a Employee Volunteering Scheme, Workforce Development Strategy, Well Being Strategy and the launch of the Community Empowerment Fund. The policy team have successfully consolidated support, both internal and external to the Council, for asylum dispersal.

### Catering

The Catering service has successfully worked with our schools to re-design the catering provision to meet each individual schools needs as a result of COVID. This has meant significant change and adaptation which the team have embraced and delivered at pace. The Free School Meals delivery service has continued during school holidays and for those children self isolating, staffed by a wide range of officers from across the Council. The feedback has been extremely positive since the implementation of this scheme and it is widely valued by our Communities.

### Corporate Finance

The audit of the 2020/21 Financial Accounts has been completed and the Auditor General has issued an unqualified audit opinion. Work is underway on the 2022/23 Draft Budget Proposals in readiness for the Provisional Financial Settlement announcement on 21 December 2021.

## What have we learnt and what needs improving and why?

**Customer Services:** Our website needs to updating to make this more user friendly

### Catering

The announcement from WG around FSM for all, although welcome, will be a significant challenge when taking into account funding, staff recruitment issues, capacity of sites and infrastructure. However officers are working collaboratively across Wales together with WG and WGLA in order to ensure a timely and successful implementation plan can be developed.

### FOI Reponse

The improvements in response to the FOI deadlines continues but not at the pace and scale yet required to meet the prepandemic targets. This will be kept under review.

Completed Priority Actions from last Quarter	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	EE		Complete - FOI breakdowns are now received by CMT fortnightly
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		Work continues in this regard.
To review and gain greater knowledge on cyber security risk	EE		Gap Analysis undertaken and a series of Cyber Security training and awareness raising events have been carried out over the autumn.

Feedback / Recognition / Actions from Corporate Management Team	By Whom	By When	Update
Fantastic effort across the Directorate to achieve such progress against a backdrop of so many challenges			

Priority Actions for next Quarter (What support is needed from Corporate Management Team)	By Whom	By when	Update
The introduction of the changes to the FSM criteria and the decision to fund all primary school pupils to receive free meals needs careful	CX		
Work should continue on the refresh of the Councils website and Intranet site as key platforms for transformation and engagement	Ed		
Further work to be done to understand the sickness picture and reduce levels of sickness wherever possible	Ed		Consider the release of the COVID dashboard to wider staff population