

Action Plan & Response to Regulator Proposals

Number and reference of action	Name of Report	Regulator Proposal	Action	PREVIOUS UPDATE July 2021	Service Officer Responsible	When will be completed by	CURRENT UPDATE March 2022	Status	Percentage completed
344A2016 (Audit year 15/16) Issued May 2016 / reported August 16+C6H5B5:C5B5:C8	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 was scheduled for Policy and Resources Scrutiny Committee as part of that process on 6th July 2021. However this has now been deferred to September to allow for the staff survey results to be analysed and help inform the final strategy.	Lynne Donovan	Oct 2017 Changed to April 2019 Changed to 31st Jan 2020 Changed to 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%
	WHQS Follow Up Issued Jan 2019. Reported to Cabinet 30 Jan 19	P2 The Council should agree a Local Housing Strategy to set out its long-term vision for the future priorities for homes in Caerphilly.	1. Develop an up to date over arching Local Housing Strategy to set out the long term vision for housing within Caerphilly.	The process to develop a Local Housing Strategy started in July 2020 with the appointment of Arc4 Ltd consultants. Arc4 have been working closely with officers and partners throughout the pandemic and have produced a portfolio of background information including a concept document which is currently out for consultation with stakeholders. Public engagement will follow throughout the Spring in order to produce a draft. The Strategy document will be refined throughout the summer and be presented to Cabinet in October for approval.	Nick Taylor-Williams/ Jane Roberts-Waite	27th October	The new Local Housing Strategy entitled 'An Agenda for Change' was approved by Cabinet on the 27th October 2021. The strategy sets out the vision and priorities for the management and delivery of affordable homes in the county borough over the next 5 years. The strategy will be underpinned by a Delivery Plan which will breathe life into the strategy through a portfolio of actions and ensure its deliverability. An investment plan will also be developed and will set out clearly how the actions contained within the Delivery Plan will be resourced and funded. Arc4 Ltd have been commissioned to formulate the delivery plan and a series of workshops (linked to the 5 priorities in the strategy) are currently underway.	In progress	Local Housing Strategy - 100% Delivery Plan - 70% Investment Plan - 0%
WAO Ref 1073A2019 March 2019	Well-being of Future Generations - An examination of improving take up of the Flying Start Programme	Area for Improvement - Integration * Consideration of how increasing take up and attendance could impact positively and negatively on the demand for, and capacity of, other Council and non-Council services (both public bodies and voluntary sector) * Consideration as to whether all step leads are fully conversant with the definition of integration as set out in the Act	1. Explore use of the resilience framework to identify barriers to attendance 2. Explore development of 'My Journey booklet' into an electronic all for families 3. Develop case studies to show added value of integration of early intervention preventative services with statutory provision 4. There are 4 actions relating to corporate learning for staff and members to embed the 5 ways of working	The whole system redesign has taken on integration with intergrated outcomes, colocation, shared databases, integration of the teams and so forth. This also includes voluntary sector and other statutory services. The Caerphilly pilot went live last month.	Sarah Mutch & Ros Roberts	Action 1-3 - March 2020 Action 4. May 19- March 2020	Flying Start and generic health visitors have now integrated caseloads into 8 bases. Registration forms from birth are being implemented so that there is easier information sharing across the services akin to that in Flying Start. Early Years has moved into a centralised system with identification of children not accessing childcare to be targeted for support to access early years education. Development of the padlet which is an electronic tool developed in health visiting gives families support with videos and information leaflets. Development of the early years website launching in January will give all families information and support available through the centralised request system. Case studies have been developed and are ongoing to show impact. Operational management group is the main vehicle for sharing all update information and developing the integrated system addressing any gaps.	Complete	100%
AW Ref 2272A Issued April 2021-22	Delivering Good Governance	P1 Consolidate Councils Plans into 1 single manageable to create and maintain a shared focus	There are 4 actions within the action plan to strengthen this area, with action to design graphic which shows the connections in a clear way.	N/A	Ros Roberts	Nov-21	The Corporate Plan revised 2021 (page 5 section 3) has been refreshed to show the way the councils plans complement each other. The plans are for different purposes and were required under different legislations and at different times, so it was considered and felt 1 consolidated plan would not necessarily provide clear insight for the reader. The graphics on page show the reader how the plans connect. The Corporate Plan 21/22 is available on the internet. We now consider this action completed.	Complete	100%
	Delivering Good Governance	P2. Council should assign responsibility for each priority at both officer and political levels to increase accountability	There are 4 actions to strengthen this area: key one is use of Council Directorate Performance Assessment process, which is reported to Cabinet and scrutiny work programme. Each priority does have an owner so we will publicise ownership both on the internet and in Corporate Plans.	N/A	Ed Edmunds	Oct-21	Cabinet collectively own the Well-being Objectives with individual Cabinet Members contributing to multiple Objectives. This is mirrored across Corporate Management Team and is considered beneficial as Cabinet Members and Directors must work together to progress the Council's ambition. The responsibility for the progression of specific aspects of each Well-being Objective is defined at a CMT/Cabinet workshop annually and are then published within Directorate Performance Assessments. Beyond this, each Cabinet member has a portfolio with stated responsibilities, attends relevant scrutiny meetings, receives transformation updates and are part of decision making in all areas.	Complete	100%
	Delivering Good Governance	P3 Improve the quality of evaluation and greater use of outcome data to evaluate impact of delivery of priorities	Complete the Decision-Making Corporate Review. Project work to identify measurable outcomes of the Corporate Review (monitored by Transformation board). Embed Council Method of self-assessment (called Directorate Performance Assessment and Corporate Performance Assessment) in the delivery of priorities	N/A	Ros Roberts	Mar-22	Research for the Decision making review, on the decision making route by other local authorities has been almost been completed. A survey has been carried out by a consultant with WLGA to establish what other authorities do and what the benefits and challenges arising from different decision making models. We are expecting a finalised paper on this in January 2022, and then will be able to bring a paper to corporate management team and Cabinet with proposals. The project work to identify measures that measure the corporate review has started, there is a local action plan to workshop each review and this work will complete the end of March 22. The Directorate Performance Assessment and Corporate Performance are now embedded and have been since the end of 2019. Using evaluative measures to 'self-assessment' is part of the daily business of running the 'self-assessment' process.	In progress	50%

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	Delivering Good Governance	P4 ensure both executive and non-executive members maintain a focus on its agreed priorities, the Council should schedule key decisions well in advance in the Cabinet forward work programme; and consider how best to engage its scrutiny function in challenging constructively the Council's progress in delivering its objectives and in setting its direction of travel.	Starting to Scope work to enhance scrutiny function connections to Cabinet Scrutiny evaluation via self-evaluation survey, to inform improvement needs.	N/A	Cath Forbes-Thomson	Oct-21	Scrutiny committees receive a copy of the cabinet work programme at every meeting, which now show reports scheduled up to 3 months ahead. In addition scrutiny committees are advised of significant key reports in advance at the time when the Cabinet date is being considered, to give scrutiny members the opportunity to add it to the scrutiny committee work programme and scrutinise before a decision is taken. Microsoft Forms training has been provided to staff as it is used to carry out the members survey.	In progress	80%
	Delivering Good Governance	P5 increase the transparency of decision-making, papers that support decision-making should include adequate discussion of alternative options; and make explicit the views of the Monitoring Officer and S151 Officer with regard to the recommended course of action.	To determine the most effective way to make explicit the statutory officer input and to update the guidance accordingly	N/A	Ed Edmunds (Rob Tranter)		The Monitoring Officer and s.151 officers see all reports committee reports. Where they have made comments, the comments are included in the final version of the report that goes to the committee. Where suitable, alternatives are put forward by report authors with reasons why they have been discounted'.	Complete	100%
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	N/A	Stephen Harris	Mar-22	The 2022/23 Budget Proposals were approved by Council at its meeting on the 24th February 2022. Council also received details of an updated MTFP that shows a potential savings requirement of £9.759m for the 2-year period 2023/24 to 2024/25. A further report will be presented to Cabinet in early autumn providing an update on the MTFP alongside detailed proposals in terms of addressing the savings requirement moving forward.	In progress	40%
	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 underspends 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	N/A	Stephen Harris	TBA as part of the review timelines	The process to develop the 2022/23 Draft Budget Proposals included Finance Managers having a series of meetings with Heads of Service to identify service pressures and potential savings, which were subsequently discussed with Directors. A number of meetings were also held with CMT and Cabinet to agree priorities in terms of growth bids and investments. A longer-term view was also included as part of the budget setting progress with a focus on a three-year timeline. This has resulted in the early identification of a range of cost pressures that will require consideration moving forward. A further report is scheduled for Cabinet in the autumn which will provide an updated MTFP alongside proposals to address the anticipated financial gap. A review of capital budget monitoring arrangements is also currently underway with a focus on future reporting also being based on a three-year timeline.	In progress	40%
	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	N/A	Stephen Harris	TBA as part of the review timelines	The 2022/23 Budget Proposals report presented to Cabinet and Council in February 2022 identified a potential savings requirement of £9.759m for the 2-year period 2023/24 to 2024/25. Further work is now 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. A further report will be presented to Cabinet in early autumn providing an update on the MTFP alongside detailed proposals in terms of addressing the savings requirement moving forward.	In progress	40%