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Action Plan & Response to Regulator Proposals

Report Reference and if related to Risk Register	Name of Report and where reported	Regulator Proposal	Action	Service Officer Responsible	When will be completed by	UPDATE -June 2023	UPDATE JANUARY 2024	Status	Percentage completed
AW Ref 2451A2021-22 Issued June 2021 Linked to Risk Register CRR 02 MTFP cost of living on organisation	Financial Sustainability Assessment Governance and Audit 12 October 2021	P1 The Council should develop and implement a more comprehensive MTFP.	This will be progressed through the emerging 'Mobilising Team Caerphilly' transformation programme.	Stephen Harris	original date 01/03/2022 A suite of prioritised projects is in the process of being agreed for the Mobilising Team Caerphilly transformation programme and this will inform a further iteration of the MTFP in spring 2024.	The 2023/24 budget was approved by Council on the 23rd February 2023 and this included total 2023/24 cost pressures of £55.5m. These pressures are being funded through a 6.9% uplift in the Financial Settlement (£22.2m), permanent savings of £5m, temporary savings of £6.9m, the one-off use of reserves totaling £15.3m and a 7.9% increase in Council Tax (£6.1m). The £22.2m of temporary measures for 2023/24 are contributing to an overall anticipated savings requirement of £48.3m for the two-year period 2024/25 to 2025/26. Work is underway to refocus the transformation programme and to identify other savings proposals to address the financial gap. A draft delivery plan is being developed during Summer 2023 for implementation thereafter. A review of capital balances is also underway and a report on this will be presented to Members in September 2023.	The 2024/25 draft budget proposals were endorsed by Cabinet on the 17th January 2024 and these are now subject to a period of consultation prior to final budget proposals being presented to Cabinet and Council on the 27th of February 2024. Total cost pressures of £56.08m have been identified for 2024/25 and it is proposed that these will be funded through a 2.3% uplift in the Provisional Financial Settlement (£7.77m), permanent savings of £19.53m, temporary savings of £11.45m, the one-off use of reserves totaling £11.39m, and a 6.9% increase in Council Tax (£5.94m). The £22.84m of temporary measures proposed for 2024/25 will contribute to an overall anticipated further savings requirement of £46.70m for the two-year period 2025/26 to 2026/27. The Council's emerging Mobilising Team Caerphilly transformation programme will be a key element in driving forward the significant changes required to ensure that we are able to address the unprecedented financial challenges that we face. A suite of prioritised transformation projects is in the process of being developed and these will inform a further update of the MTFP in spring 2024.	In progress	60%
AW Ref 2451A2021-22 Issued June 2021 See above link to risk CRR02 on Risk Register	Financial Sustainability Assessment Governance and Audit 12 October 2021	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 emerging 'Mobilising Team Caerphilly' transformation programme.	Stephen Harris	Spring 2024	The 2023/24 budget was approved by Council on the 23rd February 2023 and this included total 2023/24 cost pressures of £55.5m. These pressures are being funded through a 6.9% uplift in the Financial Settlement (£22.2m), permanent savings of £5m, temporary savings of £6.9m, the one-off use of reserves totaling £15.3m and a 7.9% increase in Council Tax (£6.1m). The £22.2m of temporary measures for 2023/24 are contributing to an overall anticipated savings requirement of £48.3m for the two-year period 2024/25 to 2025/26. Work is underway to refocus the transformation programme and to identify other savings proposals to address the financial gap. A draft delivery plan is being developed during Summer 2023 for implementation thereafter. A review of capital balances is also underway and a report on this will be presented to Members in September 2023.	The Council's updated MTFP presented to Cabinet on the 17th of January 2024 alongside the 2024/25 draft budget proposals, shows a projected further savings requirement of £46.70m for the two-year period 2025/26 to 2026/27. A suite of prioritised transformation projects is in the process of being developed and these will inform a further update of the MTFP in spring 2024. These projects will be subject to business cases that will clearly define the expected financial benefits.	In progress	50%
AW Ref 3005A2022 issued July 2022 Links to mitigating actions for risk CRR 15 & CRR 16	Springing Forward - Workforce and succession plans. P&R Scrutiny 23.01.23	R1 In developing its service-level workforce plans, the Council should place the sustainable development principle at the heart of its considerations, and specifically ensure it: • builds on its experience of the COVID-19 pandemic; • takes account of longer-term trends that may affect service provision and the efficient use of workforce; • aligns with other strategic plans and outcomes; • takes account of the needs of staff, service users and partners, and • sets out SMART performance measures and appropriate monitoring and reporting arrangements.		Lynne Donovan	Moved from Spring 2023 to Spring 2024	Further meetings have been arranged with the wider management teams of these services in Summer 2023. Feedback will assist the final refinement of the toolkit which is to be rolled out across all services in Autumn 2023. Discussions are ongoing with LGA in relation to them delivering workforce planning training to Management Network. The HR Management team have already received this. A suite of reports are also being developed in the upgraded HR / Payroll system to support workforce planning.	A Workforce Planning Toolkit has been developed and pilots undertaken by 3 Heads of Service in the Autumn 2023. This will now be rolled out across other services in accordance with the priority determined by the Mobilising Team Caerphilly Workstreams. Workforce Planning Training by LGA was arranged for Leadership Team in October 2023 but had to be cancelled due to the availability of the Trainer. This has been rearranged for February 2024. A suite of information will be available via the HR/Payroll system in Spring 2023 to support Managers with their workforce planning.	In progress	70%
AW Ref 3086A2022 issued July 2022	Springing Forward - Assets P&R Scrutiny 8 Nov 22	Develop a longer-term asset strategy R1 In developing its asset management strategy, the Council should ensure it: • takes account of longer-term trends that may affect service provision and the efficient use of assets; • ensures alignment with the outcomes of other relevant strategic documents, including decarbonisation and digital strategies; • sets out the Council's intended outcomes over the short, medium and longer term; • sets out SMART performance measures that provide insight to decision makers; and • revises the Service Area Management Plan criteria to include active consideration of residents' needs over the medium to longer term.	The Council is appointing a new Head of Land and Property who will have responsibility, among other things, for redeveloping and integrating the Council's Asset Management Plans and ensuring they integrate with the wider suite of strategic documents. The post holder will have the role of refreshing our approach to Asset Management as a key priority. As part of the redevelopment of the approaches to Asset Management, we will ensure appropriate outputs and outcomes are set with targets and timescales introduced where appropriate. We will look to include some specific recurrent questions within its next Caerphilly Conversation that will provide insight into residents' views on community assets and their use.	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property Caerphilly Conversation - Sue Richards Head of Transformation	01/04/2023 Jan 2023 Changed to Feb 24	Proposed timeline for the development of a new strategy has been developed and actions are currently being worked through focussing on delivery of a draft for CMT in September 23, AW to receive draft programme for information. Timescales remain realistic and the work is on track for the dates for the previously communicated timetable. Through the council's ongoing engagement programme 'The Caerphilly Conversation', our communities are giving us useful insight into how they feel we should do things differently in future. Some of the emergent themes to date, with specific relevance to asset management, are: - Reduce the number of buildings and fully use those maintained including for community use, generate income to mitigate against need for budgetary savings, e.g. leasing surplus buildings, sale of vacant assets. - Ensure that there is easy access to services – for all whether this be online, over the phone or face to face. Digital access to service should be available wherever possible but acknowledge that some are digitally excluded and some services have to be delivered face to face e.g. libraries and leisure centres. Use existing buildings to co-locate services e.g. libraries as "hubs" where residents can access many services in one place in the community. Improve efficiency (using technology to do so) and reduce bureaucracy and ensure sustainability of service development and provision e.g. green and efficient transport services, good cycle networks provision of electric charging points. Engagement confirmed that people wanted to maintain home working where possible reduce the number of office buildings etc	This strategy was delayed due to the financial environment and a need to re-focus, and realignment of priorities as a result of Mobilising Team Caerphilly and the development of a new corporate plan. This should now be finalised in Early 2024 and the date has been changed to reflect this.	In progress	75%
AW Ref 3086A2022 issued July 2022	Springing Forward - Assets P&R Scrutiny 8 Nov 22	Secure Resources R2 Secure sufficient and skilled resources to deliver the strategic vision effectively, including to: • manage the disposal or transfer of surplus assets; • implement digital solutions; and • engage with and involve communities around their needs	The Council is developing a new approach to Recruitment and Selection designed to enhance its chances of securing and retaining critical resources We are exploring opportunities to provide additional support for critical resources through an enhanced relationship with its supply chains. The Council is implementing a cloud strategy to future proof its approach to the delivery of digital solutions through the use of Software as a Service. As well as adapting its Caerphilly Conversation to seek views on assets, this will strengthen further the involvement aspects of any disposals or changes to existing services. Strategic community involvement work is already programmed to ensure assets, particularly those linked to the Walk In Services corporate review, are developed around community need. This approach is in line with the council's Consultation and Engagement Framework, adopted in February 2020. Ongoing process of highlighting opportunities within the Community Asset Transfer scheme with community members during engagement process.	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property Caerphilly Conversation - Sue Richards Head of Transformation	Spring 2024	Suplus assets procedure to be reviewed as part of Asset Management Plan Actions. This insight above has come from and links too the councils two most recent phases of the Caerphilly Conversation, 'What matters to you?' in November/December 2022 and 'Council budget setting' in January/February 2023 can be found here: www.caerphilly.gov.uk/caerphillyconversatio A link to the councils two most recent phases of the Caerphilly Conversation, 'What matters to you?' in November/December 2022 and 'Council budget setting' in January/February 2023 can be found here: www.caerphilly.gov.uk/caerphillyconversation . In addition, the council is planning for a further phase of in-depth engagement with its extensive stakeholder groups - including residents - as part of the Caerphilly Conversation in September and October. Further insight relevant to this area of work will be sought through this in-depth activity	The new timeline reflects the change in focus connected to the Corporate Landlord workstream identified as part of the Mobilising Team Caerphilly work. New procedures and governance will be reviewed as part of the Corporate asset management strategy in Spring 2024.	In progress	75%

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AW Ref 3086A2022 issued July 2022	Springing Forward - Assets P&R Scrutiny 8 Nov 22	Evaluate the benefits of partnership working R3 Collaborate with public sector partners across Gwent to evaluate the potential benefits of developing a strategic long-term approach to a single public estate.	There are clear and obvious benefits from collaborating with other public sector bodies, previous attempts to do so across the Gwent PSB have proved challenging and are reliant on partners wanting to pursue opportunities. This recommendation, therefore, is not entirely in the Council's gift to resolve. That said, the advent of Agile working practices do clearly provide new opportunities for redundant building capacity to be used by either private or public partners, maximising the use of assets while reducing the costs. The Council is currently formalising its approach to Agile working and in doing so is assessing its future capacity.	Mark S Williams Corporate Director Economy and Environment Ben Winstanley Head of Land and Property Sue Richards Head of Transformation	Autumn 2024	Meetings with public sector partners regarding the principles of accommodation sharing have commenced and a scope for a further asset mapping exercise is being developed and will be fed into the ISPB initially with further partners to be invited. Caerphilly have started to attend NHS meetings in relation to Aber Valley project and workstream, wider review will commence if Asset Collaboration funding can be obtained.	Delays in progress have been due to staff resources in Caerphilly and the implementation of Agile policy. More progress will be reported when community hubs work commences in Spring 2024 targeted to be completed in Autumn 2024.	In progress	30%
AW Ref 3219A2022 Nov 22 Links to risk CR13 Increased Homelessness and Housing Supply on Corporate Risk Register	Homelessness Report Reported to Gov & Audit 24.01.23	R1 Strengthen its planning and monitoring for homelessness by: • better use of forecasting and benchmarking data; • setting a clear longer-term vision to meet changing needs; • developing clear milestones and targets to assess its progress; • identifying measures to evaluate the impact of its preventative activity; • ensuring the required medium to longer-term resources are reflected in its Medium Term Financial Plan	Strengthening planning and monitoring approach with clear milestones and use of better forecasting is something that we will explore recognising that in this current economic climate the trends are only going one way. Investigating different evaluation measures of our preventative activity will be important as we move through the years of the Rapid Rehousing strategy. The Financial situation is concerning and we will be making a strong case as we are required to identify saving and essential growth will need to be fought for in the medium Term Financial Plan	Nick Taylor-Williams/ Kerry Denman	2023/ 2024 in view of WG white paper proposals	Prevention pathways are being explored and configured for earlier intervention by the teams. Affordable Housing Partnership workstream set up to work with Landlords partners on move on due to pressures in emergency accommodation. Specialist Offender Officer appointed (slight delay in taking up post due to staffing levels within the team; aim to be live in post in September). Review of letters, plans and leaflets underway to improve information and communication.	Work is underway to deliver improved partnership arrangements and is being picked up by the workstreams undertaken under our Common Allocation Policy Review and our Temporary accommodation workstream. This work will now have to give consideration to the proposals outlined in the Welsh Government White Paper on Ending Homelessness and the additional statutory responsibilities that this is likely to place on the service and staff structure and further on how we deliver prevention models, therefore this will be kept under review and consideration for 24/25. All this work has now become business as usual as part of how we evolve the homelessness service to react to the changing pressures we face across the service as the cost of living crisis and the macro economic situation changes and impacts on our communities. The Rapid Rehousing strategy and the forthcoming WG White Paper on ending Homelessness is now all part of our day to day workload, therefore as we progress actions from the audit report over the next 5 years of the plan and as the new policy is embedded it is business as usual. Therefore we believe this recommendation should be closed as it is now complete.	complete	100%
AW Ref 3219A2022 Nov 22 Links to risk CR13 Increased Homelessness and Housing Supply on Corporate Risk Register	Homelessness Report Reported to Gov & Audit 24.01.23	R2 Continue to work with its partners (internal and external) to address some key areas for improvement, • engaging partners earlier in the development of key plans, strategies and developments; • identifying opportunities to improve the completeness and timeliness of shared information; • assessing the opportunities to improve the offender pathway; • improving the dialogue with partners around what constitutes a 'reasonable offer of accommodation'.	We commit to continue work with partners to address key areas of improvement and work in partnership through the homeless service and without that approach we wouldn't deliver and make improvements. The Rapid Rehousing Transition Plan (RTTP) embodies this approach and cannot be delivered without early engagement and collaboration in developing our plans going forward. We will review ways to improving offender pathways ensuring info is agreed in a timely fashion is critical to this pathway improvement and all of our work in this area.	Nick Taylor-Williams/ Kerry Denman	2023/2024 in view of WG white paper proposals	Prevention pathways are being explored and configured for earlier intervention by the teams. Affordable Housing Partnership workstream set up to work with Landlords partners on move on due to pressures in emergency accommodation. Specialist Offender Officer appointed (slight delay in taking up post due to staffing levels within the team; aim to be live in post in September). Review of letters, plans and leaflets underway to improve information and communication.	Review of letters and associated leaflets will be on hold pending welfare reform clarification and proposals as the whole IT system for case management and statutory letters associated with in our legislative framework will change as a result of the white paper and legislative reform. All this work has now become business as usual as part of how we evolve the homelessness service to react to the changing pressures we face across the service as the cost of living crisis and the macro economic situation changes and impacts on our communities. The Rapid Rehousing strategy and the forthcoming WG White Paper on ending Homelessness is now all part of our day to day workload and therefore as we progress actions from the audit report over the next 5 years of the plan and as the new policy is embedded it is business as usual. Therefore we suggest this is closed as completed.	complete	100%
AW reference 3230A2022 Received Jan 23 Links to Risk CRR 04 Impact of Climate Change	Caerphilly Assurance and Risk Assessment Review Not reported yet, Final Version to be received from AW Feb 23	Decarbonisation R1 The Council should ensure its proposed actions to reach net zero by 2030 are: • fully costed in terms of their carbon and financial impact to enable it to prioritise actions; • fully reflected in its Medium Term Financial Plan and Capital Strategy; • integrated into Directorate Performance Assessments	Work with service areas to identify a comprehensive programme of the detailed actions required to reach our targets. Establish mechanisms to identify the costs associated with the detailed actions. Develop a programme of when key actions need to be undertaken. Work with Finance, CMT/Cabinet to ensure that the programme and estimated costs are considered for inclusion in MTFP and Capital Strategy.	Paul Cooke	Mar-26	On the 14th June 2023 Cabinet approved a report setting out 10 recommendations to enable the authority to achieve its net zero carbon targets by 2030. The recommendations include the Decarbonisation Team providing every service area with a detailed breakdown of their individual carbon baseline and agree priorities and actions, and to set individual targets and carbon budgets for 2024/25 financial year. This work will include developing individual action plans and starting to cost the actions included. Specific work is progressing to identify the work needed on specific buildings and to obtain tendered prices for this work.		In progress	20%
AW reference 3230A2022 Received Jan 23 Links to Risk CRR 04 Impact of Climate Change	Caerphilly Assurance and Risk Assessment Review Not reported yet.	Decarbonisation R2 The Council should develop a robust set of metrics to measure and report progress on its decarbonisation journey.	Identify key metrics to measure and report progress. Consult and agree metrics, collection and reporting.	Paul Cooke	Mar-24	The draft metrics have been circulated and discussions are now underway on how these will be incorporated into Directorate Performance Assessments.	The new metrics have been developed and are being incorporated into the Asset Management Plan and Directorate Performance Assessments.	In progress	50%
AW Reference 3688A2023 Date issued July 2023 for Audit year 22/23 Links to Risk Register CR19	Waste Management Review Reported to Environment and Economy Scrutiny 31 Oct 23	Value for Money and Well-being measures R1 The Council should set out how it will monitor and evaluate the value for money of its waste strategy once finalised and the strategy's contribution to the Council's Well-being Objectives	The Strategy will have an inclusion of a monitoring and evaluation section within the strategy to explain how progress will be monitored	Mark S Williams	Summer 2024 - See timeline in January Update	New, no previous update	Draft strategy was considered by joint scrutiny on 15/1/24 followed by cabinet on 17/1/24. public consultation for 12 weeks to commence february 2024.	In progress	75%
AW Reference 3688A2023 Date issued July 2023 for Audit year 22/23 Links to Risk Register CR19	Waste Management Review Reported to Environment and Economy Scrutiny 31 Oct 23	Longer-term strategy R2 The Council should develop and agree a fully costed and resourced longer term waste strategy capable of meeting both current statutory targets and in readiness for the potential increase in statutory targets in the future.	Development of draft strategy, political sign off then public consultation. Political approval and publishing of final strategy after public consultation	Mark S Williams	Summer 2024	New, no previous update	Draft strategy was considered by joint scrutiny on 15/1/24 followed by cabinet on 17/1/24. public consultation for 12 weeks to commence february 2024.	In progress	75%
AW Reference 3874A2023 Date of Issue Dec 23	Setting of Well Being Objectives Reported to Cabinet 17 Jan 2024	R1 The Council should ensure that its refreshed MTFs shows how it will resource the delivery of its new WBO over the short, medium and longer term and to reflect any potential future financial risks to deliver them.	Each Well-being Objective has a section on the resources available to deliver this. The Corporate Plan is reviewed yearly and this includes resource changes. However we will look to implement a specific method or review whether existing methods can be strengthened.	Stephen Harris	Jun-24	New, no previous update			
AW Reference 3874A2023 Date of Issue Dec 23	Setting of Well Being Objectives Reported to Cabinet 17 Jan 2024	R2. The Council should ensure its performance management arrangements provide effective monitoring, reporting and scrutiny of the progress being made on delivering its well-being objectives	1. Develop a new Performance Reporting Framework including dashboards, frequency, trend data to monitor delivery of well-being objectives. 2. Review of Well-being Objectives on yearly basis is standard practise and will include PM arrangements	Ros Roberts	May 2024	New, no previous update	Developing the necessary data, gathering and developing trends, identifying the data owners, has started and is now ongoing getting ready for the first year end reporting of the corporate plan.	Started	20%