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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	PREVIOUS UPDATE JANUARY 2024	NEW Update JUNE 2024	Status	Percentage Complete	Percentage complete last time
AW Ref 2451A2021-22 <b>Issued June 2021</b>  Linked to Risk CRR 02 MTFP cost of living on organisation	<b>Financial Sustainability Assessment</b> Governance and Audit 12 October 2021	<b>P1</b> 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 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 totalling £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.	The 2024/25 budget was approved by Council on the 27th February 2024. Total 2024/25 cost pressures of £56.5m are being funded through a 2.5% uplift in the Financial Settlement (£8.9m), permanent savings of £19.6m, temporary savings of £11.5m, the one-off use of reserves totalling £10.6m, and a 6.9% increase in Council Tax (£5.9m). The £22.1m of temporary measures for 2024/25 are contributing to an overall anticipated savings requirement of £45.2m for the two-year period 2025/26 to 2026/27. Significant work has been carried out in the last twelve months through the 'discovery phase' of the council's Mobilising Team Caerphilly Transformation Programme to identify a range of projects to help balance the budget moving forward. We are now moving into the 'delivery phase' of the Programme with numerous projects being defined in detail and a range of proposals will be presented for scrutiny and decision making throughout the 2024/25 financial year.	In progress	60%	50%
AW Ref 2451A2021-22 <b>Issued June 2021</b>  See above link to risk CRR 02 on Risk Register	<b>Financial Sustainability Assessment</b> Governance and Audit 12 October 2021	<b>P3</b> 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 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.	The Council's updated MTFP presented to Council on the 27th January 2024 alongside the 2024/25 budget proposals, shows a projected further savings requirement of £45.2m 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 summer 2024. These projects will be subject to business cases that will clearly define the expected financial benefits.	In progress	60%	50%
AW Ref 3005A2022 <b>issued July 2022</b>  Links to mitigating actions for risk CRR 15 & CRR 16	<b>Springing Forward - Workforce and succession plans.</b> P&R Scrutiny 23.01.23	<b>R1</b> 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	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.	A Workforce Planning Toolkit has been developed and pilots were undertaken by 3 Heads of Service in the Autumn 2023. Feedback from the pilots has been taken on board. The Toolkit can now be used across the Council and will support the work leading from Mobilising Team Caerphilly. Leadership Team attended Workforce Planning Training facilitated by LGA in February 2024. A suite of information will be available via the HR/Payroll system in Spring 2024 to support Managers with their workforce planning.	Completed	100%	70%
AW reference 3230A2022 <b>Received Jan 23</b>  Links to Risk CRR 04 Impact of Climate Change	<b>Caerphilly Assurance and Risk Assessment Review</b> Not reported yet, Final Version to be received from AW Feb 23	<b>Decarbonisation R1</b> 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.	The authority is reviewing and reprioritising all spend as part of the Mobilising Team Caerphilly (MTC) programme which is seeking to save c£55m over the next 3 years. This review includes consideration of all decarbonisation projects including capital projects such as the development of the Cwm Ifor Solar Farm, Hydro-electric generation project at Cwmcarn Forest Drive and our Green Hydrogen development work. It also includes our Asset Management Strategy and will consider which building we retain or dispose of and how we will reduce carbon emissions, particularly from those which we are likely to retain. The Decarbonisation Team are fully embedded in the MTC process, particularly those with large carbon implications such as our asset management, buildings, fleet and transport projects. The Team is providing carbon emission calculations for different options within workstreams to ensure that where required carbon implications are considered in all significant decisions.	In progress	25%	20%
AW Ref 3086A2022 <b>issued July 2022</b>	<b>Springing Forward - Assets</b> P&R Scrutiny 8 Nov 22	<b>Develop a longer-term asset strategy R1</b> 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.	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.	Ben Winstanley Head of Land and Property  Caerphilly Conversation - Sue Richards Head of Transformation	01/04/2023  Jan 2023 Changed to Autumn 24	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.	Delivery timetable for the Asset Management Strategy reorganised to account for more thorough stakeholder engagement and initial service reviews in Libraries and Leisure to develop within Mobilising Team Caerphilly. Initial priority given to a review of the Community Asset Transfer Policy which has been presented to PDM in May 2024. The refreshed approach to Community asset transfer will take account of the economic outlook and the need to reduce overheads, however it will focus on the positives of releasing the asset to the community and the opportunities to enrich and empower the community.	In progress	80%	75%
AW Ref 3086A2022 <b>issued July 2022</b>	<b>Springing Forward - Assets</b> P&R Scrutiny 8 Nov 22	<b>Secure Resources R2</b> 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. 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.	t Ben Winstanley Head of Land and Property  Caerphilly Conversation - Sue Richards Head of Transformation	Spring 2024 changed to Autumn 2024	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.	Corporate Landlord workstream remains part of Mobilising team Caerphilly with resource requirements highlighted as a risk to delivery. New procedures and policies delayed to allow for service reviews in other areas to fully develop, this allows the new policy, resourcing and approach to account for the scale and pace required.	In progress	75%	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 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 requirements across its administrative buildings. As this exercise concludes, the Council will engage partners to assess the opportunities to co-locate.	Ben Winstanley Head of Land and Property Sue Richards Head of Transformation	Autumn 2024	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.	Work is ongoing through service transformation work in Mobilising Team Caerphilly with reviews of the library service currently underway. Accommodation reviews underway with NHS and Gwent Police on opportunities for shared accommodation.	In progress	25%	10%
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 new metrics have been developed and are being incorporated into the Asset Management Plan and Directorate Performance Assessments.	The proposed new metrics are being reviewed to ensure that they align with the documentation used for project assessment in the Mobilising Team Caerphilly programme.	In progress	75%	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	Draft strategy written and was considered by Joint Scrutiny on 15/1/24 followed by Cabinet on 17/01/24. Public consultation for 12 weeks commenced February 2024.	Draft strategy was considered by Joint Scrutiny on 15/01/24 followed by Cabinet on 17/01/24. public consultation for 12 weeks commenced in February 2024 and has now concluded. Sessions planned with cross party member group, Joint Scrutiny and Cabinet planned over the next 2 months to report outcome of consultation (which is currently being analysed). Draft outline business case (OBC) discussed with WG officials as and some refinements currently being made to take account of WG feedback.	In progress	80%	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	See above.	See above.	In progress	80%	75%
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	Each Well-being Objective already has measures and actions as published in the plan, however we are developing context 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.	This is linked to recommendation 2 - Use of Performance Information: Service User Perspective and outcomes. Reporting dashboards will be built in the Summer ready for reporting on in the Autumn of 2024.	In progress	25%	0%
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 MTF5 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	This will be considered as part of the ongoing work on the Mobilising Team Caerphilly Transformation Programme. Business cases for emerging transformation projects will need to consider the impact on both core budgets and linkages with the Well-Being Objectives.	New - Started	30%	0%
Audit Year 22-23 Date of issue February 2024 Reported to Corporate and Regeneration 14 May 2024	Use of Performance Information: Service User Perspective and outcomes. Reported to Corporate and Regeneration Scrutiny 14 May 24	R1. Information o the perspective of the service user - The Council should strengthen the information it provides to senior leaders to enable them to understand how well services and policies are meeting the needs of service users	We will review the data that is provided in respect of a service user perspective via the performance framework and will implement changes as appropriate.  We will work with services to include more of service user data in their own performance data information.	Ed Richardson	Review complete July 2024 - Outcome - next CPA Report Dec 24	New - no previous update	A review has started and enhancements are being developed to add to the Corporate Performance Assessment dashboard. More service user perspective will be included within the CPA dashboard and work has started to look at what to include, in what context and how best to show this. A report is being drafted to gain member opinion on changes to the performance framework that will include this. We are developing a member survey to gain the councillors perspective on what they wish to see.	New - Started	10%	0%
Audit Year 22-23 Date of issue February 2024 Reported to Corporate and Regeneration 14 May 2024	Use of Performance Information: Service User Perspective and outcomes. Reported to Corporate and Regeneration Scrutiny 14 May 24	R2. Information on progress towards outcomes - The Council should strengthen the information provided to senior leaders to help them evaluate whether the Council is delivering its objectives and intended outcomes	The Well-being Objectives and Corporate Plan have already published measures of success and progress is reported yearly to members and the public. A new Performance Framework for the Well-being Objective is being developed so there will be a new Well-being Objective dashboard to report on progress.	Ros Roberts / Ed Richardson	Nov-24	New - no previous update	The detail below the high level indicators is being gathered, for example frequency, is high or lower better, trends, where the data is stored and so forth. Dashboards will be built across the summer and we will using these to report on the 2023/2024 Well-being Objectives.	New - Started	15%	0%
Audit Year 22-23 Date of issue February 2024 Reported to Corporate and Regeneration 14 May 2024	Use of Performance Information: Service User Perspective and outcomes. Reported to Corporate and Regeneration Scrutiny 14 May 24	R3. Quality and accuracy of data The Council needs to assure itself that it has robust arrangements to check the quality and accuracy of the service user perspective and outcomes data it provides to senior leaders	Managers responsible for the importance of providing accurate performance data. The BI Team provide an additional tier of checks for the data submitted. In addition we will support the accuracy by; 1. Test a small amount of Performance Indicators within the Corporate Plan yearly and report the results 2. Build resources on the intranet for communicating data accuracy 3. Arrange training for data officers with DataCymru 4. Review what additionality Internal Audit can provide	Ros Roberts	May 24 - May 25	New - no previous update	We have carried out an analysis of 18 Local Authorities where 2 of the 18 did not receive this recommendation so we are reviewing this to see if there is any additional learning. The Intranet presence is being built and will be live by July 2024 including a current definition form for Performance Indicators. This helps officers detail what is included in the counting of data. Free training has been arranged over 4 modules in a range of data analytics and presentation and will include the importance of accuracy for over 20 officers. We will risk assess the Corporate Plan PI's to identify small amount of measures to test the accuracy of provision of data	New - Started	15%	0%

