

## Action Plan 2015 Response to Regulator Proposals

Number of action	Original Document	Regulator Proposal	Action	2015April/May	Service Officer Responsible	By When	Additional Information	Status
25	1A2 Dec 2012 (Carried forward from historical list)	<b>P2</b> Better engage and strengthen scrutiny to improve self-evaluation arrangements and to inform the councils overall evaluation of progress against its improvement objectives	Consideration of moving from 2 individual PM scrutiny's to using more frequent scrutiny to give greater reporting opportunities. We are also reviewing and revising the planning cycle to include a self-evaluation process	Member review of Performance of the Improvement Objectives is a standard part of day to day business. Training took place and the Annual Performance Report goes to Council and Scrutiny prior to that every year. IO's are reported every 6 months. Service Self evaluation is in its 2nd cycle and whilst challenge sessions need to be developed further this has no relation to the reporting of the Council Performance to Members against the Councils priorities. A Review of Scrutiny is taking place and this is included within the wide ranging workshops.	R.Roberts	Dec-14	In addition to the newness of self-evaluation, the removal of the PM scrutinys without a definate steer on replacement and the newness of embedding performance in ordinary scrutinies, means that PwC would like this to remain open, was closed but <b>now reopened wef 29.1.2014 OPEN - Transferred to current list 9th May 2014</b>	<b>RECOMMEND CLOSURE</b>
IA 1 October 2012	Carried forward from Appendix A (historical)	<b>P2</b> Formal annual financial assessments of its Improvement Objectives are included within all relevant SIPs to ensure that resources are clearly aligned to priorities;	<b>1.</b> Guidelines sent to Heads of Service <b>2.</b> Critique Plans when received <b>3.</b> Escalate any none compliance <b>4)</b> Introduction of Self-Evaluation to include costings as part of the evaluation.	Costings of the Improvement Objectives are agreed with the Corporate Finance Director and are reviewed in line with the Medium Term Financial Plan and this is standard practise. The self-evaluation and plan include any actions to address the Improvement Objectives and each objective has a section on Resources to tell the public how we plan to afford to deliver the objective.	Nicole Scammell and RR	Jun-13	Following discussion with PWC it was agreed to keep this open. PWC would like the assurance of one more cycle including new self-evaluation process, particularly with workforce planning. We will review after the plans are written. <b>OPEN - Transferred to current list 9th May 2014</b>	<b>RECOMMEND CLOSURE</b>
32	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include developing and implementing a customer service strategy that supports the Council's strategic vision and improvement priorities.	To develop and implement a Customer Services Strategy.	A detailed Customer Services Strategy has been written and is in the first round of consultation. It has been shared with the customer service project group and is being prepared to go to P&R Scrutiny in June. The strategy covers a wide range of areas and provides a strategic approach to Customer services and clearly provides a vision	Dave Titley Customer Services	Report to P&R Scrutiny Committee in March 2014 explaining		<b>In progress</b>

33	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include establishing clear links between the customer service strategy document, Improvement Objectives and departmental service improvement plans.	To develop and implement a strategy.	The CS strategy clearly identifies other Council and Partner Strategies of where customer services can help the other strategies to meet their outcomes, such as the draft Anti Poverty Strategy, The Single Equalities Plan and the Single Plan called 'Caerphilly Delivers'. There are specific links shown to the objectives in these and other strategies noted above. The new Council service evaluation process is an evidence based process subject to challenge which asks services to evaluate themselves against how they provide customer services. When the strategy is formalised this link will be clear.	Dave Tittley Customer Services	Report to P&R Scrutiny Committee in March delayed til June 2014.		<b>In progress</b>
34	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring the customer service strategy clearly sets out appropriate performance measures that enable the Council to manage, monitor, report and evaluate its strategy and other related strategies including its customer charter.	To develop and implement a strategy that includes performance management information.	The strategy clearly defines the purpose and measures will be set to show how near or far we are from that purpose.	Dave Tittley Customer Services	Report to P&R Scrutiny Committee in March delayed til June 2014.	Draft Strategy out to consultation with officers and members during March and April, with final proposed strategy presented to P&R Committee in June 2014.	<b>In progress</b>
35	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. Including customer services' performance measures in the Council's corporate performance reporting arrangements and ensuring they are subject to effective self-evaluation, challenge and scrutiny.	Review customer service standards then develop suite of performance managers based on the objectives of the strategy 10 links to 12	Performance Measures already exist and are reported on within the Corporate Management Team cycle, however they will be reviewed in line with the new strategy and developed into a more rounded suite of indicators. This should be completed by the end of the year. The Council has set up a customer project group that has a wide range of representatives who forms part of the a self-evaluation and challenge process and is a mechanism for raising issues of development in customer care.	Dave Tittley Customer Services	Sept 14 (to go into performance report Oct 14		<b>In progress</b>
36	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the Council's equalities and Welsh language objectives are being delivered and reflected in the customer service strategy.	The customer service strategy will include joint work with the Equalities, Policy and Translation unit to ensure there is input at the beginning of the process and during the process.	The Equalities and Welsh language objectives are reflected in the new strategy and this will be clear when the strategy is sent out for formal consultation towards the end of May 2015.	Dave Tittley Customer Services	Nov-14		<b>In progress</b>

37	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the lead Cabinet Member for customer services has clearly documented responsibilities and is provided with regular performance information.	Proposal to set up Customer Services Customer service programme board with cabinet member as lead.	The Cabinet Member for Customer Services sits on the newly formed Customer Services Project group which has terms of reference and responsibilities. One of the later activities for the group will be to view performance information. Performance Information based on the Corporate Management Scorecard is now being presented to Cabinet and this includes some customer service information although this will be reviewed	Dave Tittley Customer Services	Nov-14		In progress
38	Customer Services Review (August 2013)	<b>P1: Governance and performance management.</b> Develop a more co-ordinated strategic approach to customer services. This should include ensuring business cases are developed for service improvements that clearly set out and analyses the costs and benefits of the service improvement, and the expected improvements and the outcomes to be delivered.	To set up customer services board in which all cases would go to the board, not everything needs a case - so guidelines are needed for when case should be used and this will be included in the terms of reference of the board.	As noted above a project group has been set up with cabinet and service representation. This is an operational group. It was decided to use the existing corporate information technology group to receive business cases and approve cost / benefit analysis and act as the Strategic board with input from the more operational working sub-group. This action should be closed once the Strategy is adopted.	Dave Tittley	Nov-14	To be closed off by the next reporting cycle	In progress
39	Customer Services Review (August 2013)	<b>P2: Information and data.</b> Strengthen the approach to evaluating and improving customer services in a proactive way. This should include collecting and analysing customer views and satisfaction data for e-mail and telephone correspondence.	1) Review the Customer Service standards and measures. 2) Implement survey forms for one-stop-shops and survey of contact centre 3) Broaden to other contact e.g Housing repairs to find out what they do 4) add performance data to Ffynnon CMT scorecard	This recommendation is 70% complete with regard to the methods for recording satisfaction, however the standards still need to be reviewed and addressed and performance from the satisfaction data needs to be included within the reporting cycle.	Dave Tittley	Nov-14		In progress
42	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should set out a vision for each type of asset that shows how it contributes to the delivery of the Council's priorities.	Further develop the existing draft strategy	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Colin Jones (RCJ)	Apr-14		Partially Complete - On hold
43	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should set targets for assessing progress, including the condition and suitability of each asset.	Complete update of building conditions survey	All property condition surveys are now complete and the information provided is being acted upon.	John Thomas (JT)	Apr-14		In progress
44	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should describe an overall plan for implementing the Strategy.	To form part of development proposals as above (item 42)	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Colin Jones (RCJ)	Apr-14		Partially Complete - On hold

45	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.</b> The strategy should be approved by members.	Further develop the existing draft strategy	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	Colin Jones (RCJ)	Council Apr-14		Partially Complete - On hold
46	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P2:</b> Ensure that the individual service asset management plans are developed as soon as possible and are used to inform the Council's financial planning process.	Develop Service Asset Management Plan (SAMP) and consider impact on the Medium Term Financial Plan (MTFP)	For the same reasons described above services are having difficulty understanding and planning their Property Asset needs. Having said that Building Rationalisation has been accepted by Council as an MTFP saving proposal and hence that will necessitate the need for some planning	John Thomas (JT)	Jan-Mar '14	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	Partially Complete - On hold
48	Asset Management (Land and Property) Strategy Review (September 2013)	<b>P4:</b> Develop and implement arrangements to monitor the delivery of the strategy.	Agenda updates on progress to Asset Management Group (AMG)	P & R Scrutiny Committee agreed (30/9/14) that the current financial climate and lack of clarity over the levels of future WG funding has rendered it no longer possible to develop a comprehensive Asset Management Strategy. Individual strategies are in place but it is difficult to bring those together into a coherent strategy.	AMG	Nov-14	Current MTFP issues gives priority to service savings so services are unable to set definitive plan on their property requirements - this action is <b>delayed until Oct / Nov. The completion date has been changed</b> from Jan-March 14	Incomplete - on hold
52-27	<b>AIR 2013 Improvement Assessment Letter 1 2013</b>	R3: Address the 3 recommendations in the Auditor Generals report Evaluation of Social Services contribution to the Medium term financial plan.						
57	Evaluation of Social Services contributions to the MTFP (September 2013)	<b>P3:</b> The Council should undertake further analysis to identify the non-statutory services that it could prioritise to achieve a significant saving and those statutory services that could be re modelled to realise benefits in line with its corporate and service priorities.	Update being sought from Acting Head of Corporate Finance	We now have a strong focus on discretionary services to date and this will continue into the future and is part of normal day to day management. Therefore we recognise closure as this has been addressed.	Steve Harris	Summer 2014		RECOMMEND CLOSURE
64	Information Management Review (November 2012)	<b>P4:</b> Ensure that sufficient data is held outside the recommended nine-mile limit to enable a full restoration of service information in the event of a disaster.	Find a suitable solution. Discuss options with neighbouring authorities in addition to CCBC's existing BSI27001 recovery plan.	The task to migrate to the new storage array will be completed by Christmas, this is a prerequisite for the final solution where data will be held at Newport CC. This will be achieved by the end of the financial year following installation and appropriate testing of the solution.	SIRO	01/12/2013 revised to Dec 2014	Although still collaborating with colleagues at Newport CC, CCBC are comfortable with this very low level risk and continues to look at alternatives for future.	RECOMMEND CLOSURE

65	Information Management Review (November 2012)	<b>P5:</b> Continue to develop more robust arrangements for whole-life cycle management of electronic information including e-mails, in particular disposal of information that the Council no longer has the rights to hold; ensuring that the Council is compliant with legislation.	Continue ongoing IGPT actions of data mapping; developing a records management policy and email management procedures; identify means of managing records backlogs on network drives and email.	290 staff trained on records management, email management, naming conventions, fileplan, etc, and key messages disseminated to additional 1068 staff during other IG courses. Members IG training now mandatory and continuing. Info Risk Management process embedding, and work with OGSIRO to improve, which has led to greater focus within services on records management and familiarisation with fileplan and retention schedule. Majority of email cleared from live Outlook system into EAS, a prerequisite to Exchange upgrade to improve performance. Next step is to review retention policy on emails stored within EAS Archive. Continue to look at options available within marketplace to manage records on network drives. Data has been consolidated for IT, and work continues to remove duplication and redundant files on Council's network. Existing BS10008 accreditations under review to check fit with new standard and completion of building cleaning and HR accreditations.	SIRO	Jun-15	We think this proposal should now be closed as improvements in this area will always continue, but we are confident major improvements since 2012 as evidenced in previous updates justifies closure of this action.	<b>RECOMMEND CLOSURE</b>
66	Information Management Review (November 2012)	<b>P6:</b> Further improve the response times for Freedom of Information (FOI) requests.	Continue ongoing Corporate Information Governance Unit actions of finding and implementing methods of improvement, including improvements to Publication Scheme.	FOI compliance rates have improved during the 2014 calendar year since inclusion in AGS. A number of procedural changes took effect at the end of 2014 inc reporting late/poor quality responses to the Chief Exec in order for a reminder to be sent, reduction of internal deadline to 12 days, quarterly service area reports on compliance rate, awareness raising sessions for senior management teams and training sessions for staff, so further improvements are anticipated to be in evidence over the coming months. Compliance has	SIRO	Mar-14		<b>Ongoing</b>
68	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P1:</b> Establish robust arrangements, to ensure and systematically check, that protocols and procedures are implemented and operating effectively in practice.	Practice reviewed to ensure compliance with relevant policies & procedures. (Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	Dave Street	Quarterly		<b>In Progress</b>
69	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P2:</b> Ensure all action plan targets are complete and adopted.	Plans and targets reviewed on a regular basis (Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	Dave Street	Six Monthly		<b>In Progress</b>

70	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P3:</b> Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: <b>ensuring health and social care information sharing protocols cover housing services;</b>	ISP's developed to encompass Housing related issues. (Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	Partnership Board (Dave Street)	Apr-14	These actions have been completed and the report should advise the outcomes from those actions	<b>RECOMMEND CLOSURE</b>
71	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P3:</b> Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: <b>revising Risk Assessment procedures to incorporate and cover housing services;</b>	Risk assessment procedures to cover housing related issues. (Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	K.Powell	Ongoing	These actions have been completed and the report should advise the outcomes from those actions	<b>RECOMMEND CLOSURE</b>
72	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P3:</b> Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: <b>improve staff knowledge, awareness and understanding so as to minimise risk to vulnerable people by undertaking three-way training and information sharing between housing, health and social services.</b>	(Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	K.Powell	Jun-14	These actions have been completed and the report should advise the outcomes from those actions	<b>RECOMMEND CLOSURE</b>
73	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	<b>P3:</b> Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: <b>revise the draft Mental Health Joint Accommodation Protocol (MHJAP) to include Registered Social Landlords (RSL) and Supporting People services to minimise gaps in service provision.</b>	Revised protocol in place. (Director Social Services)	Report coming to Audit Committee 10th June to provide full update as requested by members in October 2014	K.Powell	Mar-14	These actions have been completed and the report should advise the outcomes from those actions	<b>RECOMMEND CLOSURE</b>
SG2015/01	Local Authority arrangements for Safeguarding Children Issue date October 2014	<b>P1</b> Develop a Corporate Safeguarding Policy that clearly specifies roles, responsibilities and procedures for safeguarding	Corporate Safeguarding Group established - Gareth Jenkins	Working Group set up and split into 3 Task Groups. Group 1 was set up to develop a corporate policy and research good practice, work is ongoing to define the audience, so the correct format is used i.e an easy read for awareness and a more detailed policy for professionals and those with greater involvement. Anticipated Policy to be consulted on and published by the autumn. The working group received familiarisation training in safeguarding so they are better able to understand their roles	Gareth Jenkins	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015.		<b>In progress</b>

SG2015/0 2	Local Authority arrangements for Safeguarding Children Issue date October 2014	<b>P2</b> Agree Designated Safeguarding Officers within all of the Council's service areas.	Safer Recruitment/HR policies – Lynne Donovan	The agreement of designated officers will form part of the policy. Task Group 2 is looking at aspects of safer recruitment and other HR policies such as Code of Conduct, DBS checks and references, Job Descriptions and Person Specifications to help all understand their safeguarding responsibilities.	Gareth Jenkins	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015		<b>In progress</b>
SG2015/0 3	Local Authority arrangements for Safeguarding Children Issue date October 2014	<b>P3</b> Improve the range, quality and coverage of safeguarding performance reporting to provide adequate assurance that corporate arrangements are working effectively	Corporate governance/audit and QA – Gail Williams	Task Group 3 has been established to explore what other authorities report and how. It is proposed that performance measures are agreed and that monitoring, reporting and governance arrangements are strengthened to meet the recommendations. Please cross reference with P5 below.	Gareth Jenkins	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015		<b>In progress</b>
SG2015/4	Local Authority arrangements for Safeguarding Children Issue date October 2014	<b>P4</b> Ensure all elected members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. This should also include volunteers.	Training - Jane Haile	Following establishment of the Corporate Safeguarding Group, it became evident that a 4th Task Group was required to specifically look at the training requirements across the Council. The Task Group will research and implement appropriate training including for Elected Members. There is a need to map who needs training and at what level.	Gareth Jenkins	Final draft for consultation by end of June. Political endorsement and publication during the autumn 2015		<b>In progress</b>
SG2015/5	Local Authority arrangements for Safeguarding Children Issue date October 2014	<b>P5</b> Identify and agree an appropriate internal audit programme of work for safeguarding.	Gareth Jenkins	The new Corporate Working Group decided to subsume P5 into P3 in terms of dealing with the actions as there is strong correlation between the audit and the governance of the work programme and the assurance that regulators look for.	Gareth Jenkins	As above.		<b>In progress</b>