

**CABINET: THURSDAY, 2 NOVEMBER 2017 at 2.00 PM**

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A Cabinet Meeting will be held in Committee Room 3 at County Hall on Thursday 2 November 2.00 pm

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**A G E N D A**

- 1 Minutes of the Cabinet Meeting held on 12 October 2017 *(Pages 1 - 4)*

**Clean Streets, Recycling and Environment**

- 2 Shared Regulatory Services Annual report *(Pages 5 - 24)*

**Finance, Modernisation & Performance**

- 3 Cardiff Council Annual Complaints Report 2016 - 17 *(Pages 25 - 60)*
- 4 Treasury Management Mid year report *(Pages 61 - 78)*
- 5 2018/19 Budget Proposals for Consultation *(Pages 79 - 130)*

**PAUL ORDERS**

Chief Executive  
27 October 2017

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**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**MINUTES**

CABINET MEETING: 12 OCTOBER 2017

Cabinet Members Present:	Councillor Huw Thomas (Leader) Councillor Peter Bradbury Councillor Russell Goodway Councillor Sarah Merry Councillor Michael Michael Councillor Lynda Thorne Councillor Caro Wild
Observers:	Councillor Joe Boyle Councillor Adrian Robson
Also:	Councillor Dilwar Ali (Min No 35)
Officers:	Paul Orders, Chief Executive Ian Allwood, Deputy Section 151 Officer Davina Fiore, Monitoring Officer Joanne Watkins, Cabinet Office
Apologies:	Councillor Susan Elsmore Councillor Graham Hinchey Councillor Chris Weaver

**30 MINUTES OF THE CABINET MEETING HELD ON 21 SEPTEMBER 2017**

**RESOLVED:** That the minutes of the Cabinet meeting held on 21 September 2017 be approved

**31 PROPOSAL TO DEVELOP A REGIONAL SOCIAL CARE TRAINING UNIT FOR CARDIFF AND VALE OF GLAMORGAN**

A report outlining proposals for the establishment of a new regional social care training unit for Cardiff and the Vale of Glamorgan was considered. It was proposed that Cardiff Council act as the host authority and it was expected that the unit be delivered on a cost neutral basis.

**RESOLVED:** that

1. the business model, approach and functions outlined in the Business Case for the regional Social Care Workforce Training Unit attached at **Appendix 1** of the report be approved, including
  - (i) the establishment of a regional Social Care Workforce Training Unit as outlined in this report; and
  - (ii) the creation of and recruitment to the post of the Regional Manager for the Regional Workforce Training Unit.
2. authority be delegated to the Director of Social Services in consultation with the Cabinet Members for Children & Families and Health, Social Care & Well-being, and Finance, Modernisation & Performance and the Section 151 and Monitoring Officers to deal with all aspects of the Governance and any ancillary arrangements/documentation which may be required in relation to these proposals, including (without limitation) the approval of the draft partnership agreement and that the same may be entered into between Cardiff Council and the Vale of Glamorgan Council .

### **32 CABINET RESPONSE TO THE CHILDREN & YOUNG PEOPLE SCRUTINY REPORT ON FEMALE GENITAL MUTILATION**

The Cabinet considered their response to the Children & Young People Scrutiny Committee report entitled Female Genital Mutilation. It was proposed that the two recommendations aimed at Cabinet be partly accepted and accepted and support be given to the recommendation aimed at the Crown Prosecution Service and BAWSO.

**RESOLVED:** that the response to the recommendations as set out in Appendix A be agreed.

### **33 DEVELOPING THE EDUCATION ESTATE IN CARDIFF**

A report outlining the challenges and opportunities facing Cardiff in the development of the education estate was received. The report set out the sufficiency needs of the school population, the condition and suitability of the school estate and projected growth in education provision as a result of the Local Development Plan. It was highlighted that the sufficiency, suitability and condition issues would form the basis of requests for funding under the 'Band B' of the Welsh Government's, WLGA and Local Authorities 21<sup>st</sup> Century Schools programme. The report also drew attention to the need to develop and enhance provision for additional learning needs within Cardiff.

**RESOLVED:** that the matters outlined in the report be noted and further reports for subsequent decision be received in the following areas:

- Proposed schemes for Cardiff under the Band B phase of the C21 schools programme in light of budget allocations from Welsh Government
- Proposals for the adaptation and enhancement of Additional Learning Needs provision in Cardiff.

34 **CABINET RESPONSE TO THE CHILDREN AND YOUNG PEOPLE'S SCRUTINY COMMITTEE REPORT ON SCHOOL TERM TIMES**

The Cabinet considered its response to the recommendations to the Children and Young People's Scrutiny Committee report on School Term Times. The first recommendation from the scrutiny committee was not accepted as account had been taken of the Welsh Government Cabinet Secretary's statement seeking harmonisation of school term dates across Wales.

**RESOLVED:** That the response to the recommendations as outlined in Appendix E to the report be agreed

35 **ELECTORAL REFORM IN LOCAL GOVERNMENT IN WALES - RESPONSE TO WELSH GOVERNMENT CONSULTATION**

Councillor Dilwar Ali, Assistant Cabinet Member for Community Engagement introduced the Council's response to the Welsh Government consultation on Electoral Reform in Local Government in Wales. Many of the proposed changes were welcomed, particularly relating to measures which were intended to increase turn out and promote voter registration.

**RESOLVED:** that

1. the submission in response to the Welsh Government consultation on Electoral Reform in Local Government in Wales (Appendix B to the report), subject to any appropriate amendments be approved; and
2. authority be delegated to the Director of Governance and Legal Services, in consultation with the relevant Cabinet member, to notify the Welsh Government of any amendments to the Council's draft submission.

36 **ANNUAL STATUTORY IMPROVEMENT REPORT**

The report provided details of progress made during the 2016-17 financial year against the improvement objectives as set out in the Corporate Plan. It was reported that the Council had self-assessed as having made good progress in three of the improvement objectives and satisfactory in the remaining nine.

**RESOLVED:** that the Council's Annual Statutory Improvement Report be approved for submission to Council in October 2017.

37 **MENTAL HEALTH POLICY AND MENTAL HEALTH MANAGERS GUIDE**

The Cabinet considered approving the Mental Health Policy and Managers guide for Council employees. The policy had six clear aims, including building and maintaining a workplace environment and culture that both recognises and supports mental health & wellbeing and prevents discrimination. Following consideration by the Policy, Review & Performance Scrutiny Committee a number of positive changes were made, including amendments to the aims of the policy to cover the proactive management of stress in the

workplace and ensuring clear links to the Council's Stress Management Policy.

**RESOLVED:** that

1. the adoption of the Mental Health Policy and Manager's Guidance (Appendices A and B to the report be approved
2. it be publicised to all employees in an appropriate format and relevant media.
3. the key principles of the policy be commended to Members and that Officers follow up with the WLGA in terms of member development.

38 **ACQUISITION OF NEW BUILD HOUSING SCHEME AT COLLEGE BUILDINGS, COURTENAY ROAD, SPOTT FOR COUNCIL HOUSING**

***The Appendices to this report are not for publication as it contains exempt information of the description contained in paragraph 14 of Part 4 and paragraph 21 of Part 5 of Schedule 12A to the Local Government Act 1972***

The Cabinet received a report seeking approval for the Council to enter into a contract with Cadwyn Housing Association for the acquisition of new flats to be built on Courtenay Road, Splott. The scheme would be part of the aim to deliver 1000 new Council homes within 5 years.

**RESOLVED:** that authority be delegated to the Director for Communities, Housing & Customer Services to enter into a contract (following Due diligence and viability approval) with Cadwyn Housing Association, for the acquisition at an agreed contract sum, of 30 new build flats to be developed by Cadwyn at Courtenay Road Splott.

**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 2 NOVEMBER 2017**

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**SHARED REGULATORY SERVICES ANNUAL REPORT 2016-17**

**CLEAN STREETS, RECYCLING & ENVIRONMENT  
(COUNCILLOR MICHAEL MICHAEL)**

**AGENDA ITEM: 2**

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**DIRECTOR CITY OPERATIONS**

**Reason for this Report**

1. To enable the Cabinet to receive and note the Shared Regulatory Services Annual Report 2016-17.

**Background**

2. In April 2015, Cardiff Council, Bridgend County Borough Council and the Vale of Glamorgan County Borough Council signed a Joint Working Agreement (JWA) for the provision of regulatory services across the three Council areas. The document created the Shared Regulatory Service (SRS) and the SRS Joint Committee.
3. The Cabinet Member for Clean Streets, Recycling & Environment and the Chair of Licensing Committee are the two Cardiff Council representatives on the SRS Joint Committee following appointment by the Council on 25 May 2017.
4. In accordance with Clause 5.1 of the JWA, the SRS is required to produce an annual report that covers the operational and financial performance of the service for the preceding year. The SRS Annual Report 2016-17 covers the period from 1 April 2016 to 31 March 2017 and was approved by the SRS Joint Committee on 27 June 2017.

**Issues**

5. In July 2017, the Council ratified the insertion of a new Clause 5.6 into the JWA to enable each partner authority's Cabinet to receive the SRS Annual Report, for information purposes, apprising them of the decisions taken and functions carried out by the SRS Joint Committee over the proceeding financial year, as well as the performance and financial position of the SRS.

6. A copy of the report considered by the SRS Joint Committee on 27 June 2017, which includes the SRS Annual Report 2016-17, is attached as **Appendix A** to this report.
7. The SRS Annual Report 2016/17 has been approved by the SRS Joint Committee and is for information only.
8. The SRS Annual Report 2016-17 reflects upon the second year of operation of the SRS. It outlines the performance of the SRS in 2016-17; the progress made in achieving the objectives set out in the SRS Business Plan 2016-17, and the summary revenue account and statement of capital spending.

## **Operational Performance and Implications**

9. The key aspects of operational performance from the annual report are as follows:
  - Sickness absence levels for 2016/17 were 5.39 days per FTE person. This is below the Council's average.
  - A new database employing "cloud" technology was introduced in February 2017 that allows improved digital and agile working.
  - Wales Illegal Money Lending Unit (WIMLU) has supported 134 victims of loan sharks with some £357k of debt 'written off' and they continue to have support to improve their financial capability going forward.
  - 134 fly grazing horses were seized during the 12 month period by the Animal Health and Welfare Officers
  - 847 Houses of Multiple Occupancy (HMO) licences were issued, representing a 30% increase in performance on any previous total since the introduction of the Housing Act 2004. This activity carries represents a range of significant public health interventions to ensure that standards of fire safety and amenity are being maintained in the private rented sector.
10. Key operational implications for Cardiff Council are as follows:
  - Authority Specific Services for Cardiff Council had an overspend of £289,000. This is linked to adjustments in respect of the purchase of multiple year licenses adjusted for at year end within both the Licensing and HMO sections.
  - The performance relating to 'new' Food Hygiene businesses identified and visited in Cardiff remains challenging due to turnover of businesses. As a result, the performance on this indicator for 2016/17 was 84.86% and did not meet the target of 100%. Monitoring will continue at quarterly reviews and performance is anticipated to improve. It should be noted that the number of high risk inspections of category C businesses did exceed the 80%



target with 95.23% businesses visited – this represents 698 visits of the 733 premises identified.

- The performance of Cardiff Council's own Food Hygiene and operational performance has now improved controls in place and Shared Regulatory Service are and will provide explicit resource as required to support improvements in this area.
- Performance Indicator PSR/004 – “empty properties brought back to use” is not explicitly mentioned in the Annual Report as Shared Regulatory Services do not perform this function in the Vale or Bridgend. This has been a source of some concern regarding the low KPI performance on this indicator. However, a new Officer position within the Shared Service is now in place to work proactively, together with colleagues in Housing & Neighbourhood Renewal, to contribute to the indicator surrounding bringing empty homes back into beneficial use. In 2016/17 the performance level achieved was 12 of the 20 properties target. In terms of 2017/18 the target is to bring back into use 40 properties and this target is on programme to be achieved and will be monitored moving forward.

11. The management of key operational performance and implication is through the Client lead for Shared Regulatory Services in City Operations. The Client lead works closely with Finance, Legal and other Service Areas to ensure that the delivery of services are to the required level and where required improvements are implemented.

### **Reason for Recommendations**

12. To comply with Clause 5.6 of the revised SRS Joint Working Agreement, which enables the Cabinet to receive the SRS Annual Report 2016-17 for information purposes.

### **Financial Implications**

13. The SRS Annual Report is a common report to all 3 authorities and the financial implications are embedded within the annual report.

### **Legal Implications**

10. The SRS Annual Report is a common report to all 3 authorities and the legal implications are within the annual report.

### **RECOMMENDATION**

Cabinet is recommended to note the Shared Regulatory Services Annual Report 2016-17.

**ANDREW GREGORY**

Director

27 October 2017

*The following appendix is attached:*

Appendix A: Shared Regulatory Services Joint Committee Report, 27 June 2017 – Shared Regulatory Services Annual Report 2016-17.

*The following background papers have been taken into account*

- Council Report, 20 July 2017: Shared Regulatory Services – Review of Joint Working Agreement
- Cabinet Report, 6 July 2017: Shared Regulatory Services – Review of Joint Working Agreement
- Joint Working Agreement approved by County Council of the City and County of Cardiff - 20<sup>th</sup> July 2017
- Shared Regulatory Services Business Plan 2017-18.

### Shared Regulatory Services Annual Report

#### Purpose of the Report

To provide a report on the performance and financial position of the Shared Regulatory Service for 2016/17

#### Approved Recommendation

The Joint Committee met on 27 June 2017 and approved this report and authorised the Managing Director, Vale of Glamorgan Council, to forward a copy of the report to the Heads of Paid Service for the other partner Councils.

#### Reasons for the Recommendation

To meet the requirements set out in Clause 5.1 of the Joint Working Agreement.

#### Background

1. Under the Joint Working Agreement, the Shared Regulatory Service (SRS) is required to produce an annual report that covers the operational and financial performance of the service for the preceding year. Clause 5 of the Joint Working Agreement states:

*"The Joint Committee shall receive in each year at its annual meeting which shall be held no later than 30th June the report of the Head of Regulatory Services and the Lead Financial Officer in respect of the functions delegated to the Joint Committee relating to the twelve months ending 31st March of that year and a copy thereof shall be forwarded to the Chief Executive of each Participant.*

*The report shall include:-*

*(i) a statement showing the performance of the Regulatory Service*

*Functions and progress in achieving the Objectives and delivering the Business Plan*

*(ii) a summary revenue account and statement of capital spending including*

*the distribution or use of any revenue surpluses and the financing of any capital expenditure"*

2. This is the second report produced under this requirement and covers the period 1st April 2016 to 31st March 2017. If the content of this report is agreed, a copy of the report must be sent to the Head of Paid Service of each of the three Councils along with the SRS Business Plan for 2017/18.
3. This second Annual report outlines many of the actions undertaken to embed the SRS arrangements into the day to day functioning of each partner Council and the continued delivery of the wide range of statutory functions assigned to the Service. The report provides a review of operations across the service, a summary of the financial position, and outlines performance against the 2016/17 service objectives.

## Relevant Issues and Options

### ***The Shared Regulatory Service***

4. The Shared Regulatory Service (SRS) operates across Bridgend, Cardiff and the Vale of Glamorgan. The SRS delivers a range of statutory services, critical to maintaining the health, safety and economic wellbeing of local communities, through a collaborative model. The operating model delivers an integrated service for the Trading Standards, Environmental Health and Licensing functions, which has three service delivery sectors focusing upon the customer rather than the traditional professional delivery model.
  - *Neighbourhood Services: activities relating to residential premises or having an impact on the local community*
  - *Commercial Services: activities relating to business premises (generally where national standards apply)*
  - *Enterprise and Specialist Services: specialist areas of work and income generating services*
5. As a regional organisation, providing regulatory services across three local authority areas, the SRS seeks to ensure that the corporate priorities and stated outcomes of the three councils at the heart of all its activities. Using them as a focus, the strategic priorities for the Shared Regulatory Service:
  - *Safeguarding the Vulnerable*
  - *Improving Health and wellbeing*
  - *Protecting the Environment*
  - *Supporting the local economy*
  - *Maximising the use of resources*provide a robust base for achieving the outcomes identified in the 2017/18 business plan and the partner Council's corporate aspirations.
6. The Joint Working Agreement, executed in April 2015, underpins the entire service provision. The JWA contains a number of milestones and requirements. In accordance with those requirements:
  - The Wales Audit Office completed an independent financial audit of the service in September 2016; there were no recommendations for improvement
  - The service set its budget in December 2016 for the 2017/18 period
  - The Business Plan for 2017/18 is presented for political approval in other papers to the June 2017 Committee, following consultation with stakeholders
  - The Annual report is presented here for consideration by the Joint Committee
  - The Joint Committee will receive an audited statement of accounts in September 2017.

## **Annual review**

7. The 2016 Annual report highlighted the following items as the principal challenges for the service.
  - Delivery of the SRS Business Plan 2016-2017
  - Implementation of the SRS Workforce Plan
  - A review of the partnership, governance and scrutiny arrangements and organisational structure for the SRS
  - Delivery of the identified budget contribution reductions for partners
  - Refinement of the fee-generating activities approach to better understand the SRS cost base
  - Exploration of new ways of generating income for the service and future savings
  - Continue the process of channel shift by increasing the customer's ability to use self-help and undertake transactions on-line.
  - Continue to harmonise working practices across the region, ensuring an effective, improved delivery and achievement of key performance indicators.

As will be seen below, these challenges have been met; the targets identified for the period 2016/17 have, for the most part, been achieved and the financial savings delivered, along with an in year underspend. 2016/17 has seen other issues emerge resulting in further change and progress for the SRS. These issues are set out below in the synopsis for the year:

## **Human Resources**

8. The SRS structure became operational on 1st December 2015/16 and almost 200 people were placed in the new structure within 10 weeks through a process of matching and competitive interview. Through 2016/17, recruiting to the remaining vacancies has proved to be more challenging than anticipated and the SRS has struggled to recruit suitable individuals into the new arrangements. For example, the statutory Trading Standards qualification is not delivered through the University networks as previously, but through distance learning and the professional body. Therefore, the Service is now "growing its own" Trading Standards officers due a shortage of suitably qualified individuals. Similar challenges exist within the Food Hygiene discipline and this year the service supported three individuals to achieve higher accreditation to allow them to undertake a wider range of inspections. That said, the recruitment difficulties persist and remain a significant challenge.
9. The SRS has also experienced a significant number of professional officers taking maternity leave. This has added to the challenge to ensure that the SRS the capacity and competency to deliver "business as usual". The temporary absence of experienced officers has been managed through a process of secondment opportunities for junior officers and they have performed admirably.
10. Consequently, the last 12 months has resulted in officers assuming new roles that require a broadening of professional skills and the taking on of new responsibilities to

deliver the service. Accordingly, the retention of key skills, experience and talent; a commitment to, and the resourcing of training to develop people within the organisation to ensure competency within their roles has been, and remains, of paramount importance. All officers underwent a Personal Development Review (PDR) process last year and this will be fed into a personal training plan for each officer and form part of the wider workforce development plan for the service.

11. Sickness absence levels for 2016/17 were 5.39 days per FTE person. This compares favourably with the average sickness rates for the partner councils despite the service going through a time of rapid change, where there is always likely to be some impact on staff sickness, even where managers are providing all of the relevant support to staff. There are no discernible trends in either the short or long term absence figures.

### **Embedding the regional service**

12. The joining together of three local authorities operating different working practices, policies, procedures and using different systems and forms requires standardisation across the Service in order to provide consistency and efficiency across the organisation. Standardisation provides an opportunity to apply best practice and reduce costs. In 2016/17, the SRS has harmonised a range of processes and policies and managed to secure efficiency savings as part of that exercise. For example,
13. Agile working, which underpins the new operating model, has been developing with laptops and other mobile devices. A new database employing "cloud" technology introduced in February 2017, enhances our capacity for mobile working. Introducing a new ICT platform involved transferring data from four legacy systems into a single database and creating archive regimes to ensure that any historical records were retained. The work was completed on time and within budget.
14. The Service developed a single telephone contact number: 0300 123 6696 which went live in November 2016. The service is operated through the Vale of Glamorgan's call centre C1V. Calls are handled in English and/or Welsh. Calls previously managed by the Bridgend CBC contact centre are now handled by C1V, and calls from Cardiff will transfer to C1V in due course
15. Currently, officers continue to use existing office facilities although at a reduced level. The "footprint" occupied by SRS officers will reduce further as the corporate accommodation policies of each partner council are implemented and the agile working model adopted fully.

### **Operational Performance**

16. Operational performance throughout 2016/17 has been reported both to the Joint Committee and to each partner Council through the legacy systems and performance gauged against the 2016/17 Business Plan. Despite significant change and an overall reduction in the resource available to the partner authorities, performance has exceeded, that recorded for 2016/17 and the previous reporting year in the majority of services delivered. This suggests that the new Operating Model, when fully resourced, is capable of delivering the required performance while delivering the savings sought by the Council.
17. The targets and actions identified in the 2016/17 plan were achieved with all statutory plans being published on time, enforcement initiatives were completed and the change programmes identified for the period commenced on time.

18. The SRS has also continued to support relevant corporate challenges at each Council. Officers participated in training and process reviews in Cardiff and the Vale of Glamorgan to ensure audits undertaken by the Office of Surveillance Commissioners were successful. The SRS is assisting Bridgend in a similar way in June 2017.
19. The SRS has appeared before Scrutiny Committees at all three Councils providing evidence on matters relating to private sector housing, food hygiene, young people and legal highs, and protecting vulnerable individuals, along with updates on the implementation of the SRS. Work is being undertaken to review governance arrangements for the service to ensure full visibility of SRS activities and decision within the partner Councils. That work included a review of the Joint Working Agreement and proposals to update that agreement are being considered by the partner Councils.
20. SRS officers have supported all three Councils statutory Licensing and Public Protection Committees through the year. The Committees have agreed a number of new policies including, *an intended use policy* which requires taxi drivers to undertake work primarily in the area of the licensing council. At Cardiff, SRS introduced an exceptional condition policy to improve the condition of the taxi fleet. Finally, SRS officers have reported on a number of incidents asserting inappropriate behaviour by drivers resulting in over 100 drivers appearing before the three Committees.

## **Significant service achievements**

### **21. *Wales Illegal Money Lending Unit***

2016-17 was a hugely significant year for the Wales Illegal Money Lending Unit (WIMLU). Unlike the rest of Shared Regulatory Services, the Unit operates right across Wales to tackle loan sharks and provide support to the victims of this nasty crime. Just over a year ago, future funding arrangements for the Unit looked uncertain, but recognising the important role of the UK's three Illegal Money Lending Teams (those based in England and Scotland as well as in Wales) in the wider Financial Inclusion Strategies, Westminster Government introduced new funding arrangements which took effect in April 2017. The Bank of England and Financial Services Act 2016 now gives the Financial Conduct Authority the duty to collect a levy from businesses operating across the credit sector so that HM Treasury is able to recover the cost of running the three national Illegal Money Lending Teams.

Thirty seven reports of illegal money lending were made via the Unit's dedicated 24 hour Wales hotline (0300 123 33 11), and over the course of the year some 134 victims of loan sharks were provided with comprehensive support by the Unit's Client Liaison Officers. Together these victims have had some £357k of debt 'written off' and they continue to be supported to improve their financial capability going forward.

During the course of the year, the Unit continued to make the headlines with twelve cases being investigated, culminating in two defendants receiving custodial sentences. One of these cases featured on BBC's The One Show in March 2017. As a measure of the extent of the problem being tackled by the Unit, the monetary value of the illegal loans associated with the cases investigated during 2016-17 was £641,000. This is likely to be only the tip of the iceberg however, with victims often unwilling to come forward for fear of reprisal.

In order to increase the reporting of illegal money lending, WIMLU works closely with public agencies such as housing providers and third sector organisations whose staff

will often encounter the victims of loan sharks through their daily activities. In 2016-17 alone, a total of 1,167 individuals in these organisations across Wales have been trained by the Unit in what to look for and how to report concerns.

During 2016 -17, charities and other community based initiatives were invited to bid for funding to undertake projects to promote better understanding of the problem of illegal money lending. The successful organisations will receive a total of £48,000 of Proceeds of Crime Money and share the results of their projects at the end of the year to promote wider learning.

Looking to the year ahead, the new funding arrangements and closer working relationship with the FCA brings the likelihood of the Wales Illegal Money Lending Unit as an integral part of wider regulation in the financial sector; and this can only be good news for residents and reputable businesses in Wales.

## *22. Tackling the problem of stray or 'fly-grazed' horses*

2016 -17 was another busy year for SRS in respect of stray and 'fly grazed' horses, with a total of 134 horses being seized during the 12 month period by our Animal Health and Welfare Officers.

More than 70 of these horses were seized from private land during a day-long enforcement exercise in August 2016, alongside South Wales Police, the RSPCA and equine charities. The horses had been fly grazed on land in the Bridgend (and previously Wick) area over a protracted period and were preventing the owner and letting agent from renting out the fields to legitimate tenants. Of more concern was the increasing likelihood that with the onset of autumn and winter, grazing would be depleted to the point where the horses could not be sustained and based on previous experience of the area this would mean large numbers of horses straying from fields and posing a danger to residents and road users. While multiple claims of ownership were made for the seized horses, the individuals concerned were only able to identify positively a small number by means of the necessary documentation and microchips were present. The remainder of the seized horses were rehomed through recognised equine charities.

The horse issue tends to manifest itself differently in the Cardiff area with a steady flow of calls about straying or tethered horses in a few locations in the city. Nevertheless, over the course of the year, some 48 horses were seized from the highway or from public or private land. A number of these were returned upon payment of reasonable costs to their owners, along with advice on equine care going forward. The remainder were rehomed through reputable equine charities.

Given the straying horse problem encountered across the SRS region during 2016-17, the Service has once again been the primary user of the Control of Horses (Wales) Act 2014. Welsh Government has recently been conducting a review of effectiveness of the legislation, three years post implementation, and not surprisingly, the Shared Service has spent a good deal of time sharing its experiences of and opinions on, the legislation, with Welsh Government. It is hoped that improvements will be made to the legislation on completion of the review.



## 23. Food Service success

2016/17 has seen a significant performance increase in relation to the food service. Through new ways of working and the implementation of a target regime the inspection programme has seen an increase of nearly 500 inspections in comparison to last financial year.

The service has successfully supported three new members of staff through an environmental health qualification, this involved completion of portfolio work and oral examinations to demonstrate understanding of the necessary legislation. This financial year we are hopeful a further member of the food team will successfully obtain the qualification which will again further increase performance within the team.

The food service has also received some striking media coverage in relation to non-compliances. With two significant prosecutions receiving noteworthy press attention.

## 24. Trading Standards interventions in the Car Trade

In 2016 the Commercial Services Team (Trading Standards) received a large number of complaints in relation to two garage forecourts in Barry and Cardiff. The most common complaints for both premises included cars being sold in a dangerous/unroadworthy condition, warranties not being registered by the traders following the sale of the vehicle, and misdescriptions of vehicles that had been insurance Category C and D losses. Because of these complaints full forecourt Inspections were arranged for June and November 2016.

During the forecourt inspection in Barry, Vale of Glamorgan a total of 12 vehicles were examined by an expert vehicle examiner and he confirmed two vehicles offered for sale to be in a dangerous condition. Withdrawal notices were issued for both vehicles. Officers also noted that cars were being priced differently online to the prices displayed on the forecourt and that vehicles were mis-described and insurance losses were not recorded, or incorrectly recorded. During the inspection one vehicle was also seized by South Wales Police.

In November 2016 officers from the Trading Standards team carried out a further forecourt inspection in Cardiff. During the pre-inspection checks officers found that six vehicles being offered for sale were shown to be category C or D insurance losses however the advertisements for these vehicles did not reflect this information. Another vehicle offered for sale was identified as having been scrapped by DVLA. During the inspection an expert vehicle examiner examined a total of ten vehicles. Two vehicles were identified as being un-roadworthy, one vehicle un-roadworthy and unsafe and one vehicle un-roadworthy and dangerous. Withdrawal notices were issued for these vehicles.

As a result of the inspections both garage forecourts have been reported for formal action.

Car dealers must ensure that the vehicles they sell are safe. The consequences of failing to do so could result in potentially fatal road traffic accidents. Both cases are awaiting legal proceedings.

## 25. Housing Enforcement

Despite the many demands on Officer time through the introduction of the new Tascomi database the HMO Licensing it is a significant achievement that the neighbourhood Services Team based in Cardiff the team had their best ever licensing year based on performance, issuing 847 licences, which represents a 30% increase in performance on any previous total since the introduction of the Housing Act 2004. This activity carries represents a range of significant public health interventions to ensure that standards of fire safety and amenity are being maintained in the private rented sector.

Across the SRS region we have utilised grant money from Welsh Government to ensure landlords and agents have been engaged with the Rent Smart Wales project. We have achieved this through targeted campaigns and use of media, resulting in an excellent take up in registration throughout the region. We have formed good working relationships with Rent Smart Wales staff and are working collaboratively to enforce the requirements of the legislation moving forward.

Whilst we continue to engage with landlords and agents to improve conditions in the private rented sector we also will not hesitate use our enforcement powers where required. A significant case taken in to Court in March 2017 involved a property company in Cardiff where they pleaded guilty for a range of offences relating to safety in one of the properties they owned, including failure to maintain gas and electricity supplies to the premises and non compliance with an improvement notice. They were fined a total of £32,134 to reflect the seriousness of the offences.

An appeal against the size of the fine was made but was dismissed, in pronouncing his judgement District Judge who heard the case rejected criticism of the local authority and instead stated that court rejected the argument that the notice and letters misled the defendant and proffered that the defendant had simply decided to not do the works in a timely fashion thinking they would only get a £5000 fine whilst the tenants lived in squalor.

## Financial Performance

### 26. Provisional Outturn

The Gross Revenue Budget and projected outturn for 2016/17 are shown in the tables below for each of the elements within the budget. The service has achieved an overall underspend of £173k against the gross revenue budget in respect of Core and Authority Specific Services only. Information provided by Cardiff Council advocates that the overspend within Authority Specific Services can be offset by the level of income received by the Authority and balances held.

### 27. Implementation

The table below summarises the outturn position for Implementation costs, which has resulted in a £63k underspend against a budget of £404k. The budget is allocated in line with the population split across the participating authorities.

Authority	%	Gross Budget £000's	Provisional Outturn £000's	Outturn Variance £000's
Bridgend	22.47%	91	77	14
Cardiff	57.23%	231	195	36
Vale of Glamorgan	20.30%	82	69	13
		404	341	63

The agreed budget includes the acquisition of the new SRS IT system plus the cost of implementation, and also the cost of creating the SRS Hub at the Civic Offices. As part of the provisional outturn position funding in respect of the following items, estimated at £102k has been moved to an earmarked reserve:-

- - £46k to cover the anticipated cost of setting up the SRS as a separate employer within the Cardiff & Vale Pension Fund as agreed by the Joint Committee on 20th December 2016.
- - £24k to fund a part year contract extension in respect of the IT project manager to enable completion of the final implementation stage of the new system, as agreed by the partner Authorities.
- - £17k in respect of the cost of setting up an SRS Hub at the Civic Offices as agreed by the partner Authorities.
- - £15k in respect of partially completed additional IT consultancy work.

This element of the budget has been recharged based on actual costs incurred and therefore, there is no repayment due to authorities.

## 28. Core Services

The approved gross Core Services budget for 2016/17 is £6.173m, and is showing a provisional underspend of £275k. This includes the net cost to the service of seizing 70 horses in accordance with the Control of Horses (Wales) Act 2014 as reported to the December 2016 Committee.

As with the Implementation budget, the Core Services budget is allocated in line with the population split across the participating authorities.

Authority	%	Gross Budget £000's	Provisional Outturn £000's	Outturn Variance £000's
Bridgend	22.47%	1,387	1,321	66
Cardiff	57.23%	3,533	3,372	161
Vale of Glamorgan	20.30%	1,253	1,205	48
		6,173	5,898	275

Employee costs achieved a £258k underspend which is predominantly the result of a delay in recruiting suitable staff or agency cover within the Food section. Two Core posts were temporarily seconded to the Rentsmart initiative and were not covered. Additionally, there were also a number of staff on maternity leave, which resulted in issues establishing suitable cover for specialist posts. In 2016/17, the Council's average for maternity is 1.5%, whereas within the SRS the figure is just under 3.5% of the workforce.

The £9k Premises overspend relates to Works in Default within the Cardiff area, which is 100% recharge to Cardiff Council, plus financial support of the provision of temporary accommodation in respect of a Communicable Disease case in the area.

The £82k underspend on Transport is predominantly due to car allowances being significantly below budget. The underspend is the result of the implementation of a new operating system within the service, where subsequent savings have been realised a year earlier than factored into the business case.

Supplies and Services are predicting an £84k overspend, of which, £104k relates directly to the unbudgeted horse seizure as detailed above, plus £62k of capital expenditure which was funded via a revenue contribution to capital, and was incurred as a result of the purchase of equipment. These costs have then been offset by underspends across other headings within Supplies and Services.

Income targets achieved a £28k over recovery of income which includes income from the sale of Primary Authority Services where assured regulatory advice and training was sold to businesses and the WG grant to partially offset the unbudgeted horse costs.

## 29. Authority Specific Services

The approved £2.610m Gross Budget in respect of Authority Specific Services is showing a provisional overspend of £102k as detailed in the table below.

Authority	Gross Budget £000's	Provisional Outturn £000's	Outturn Variance £000's
Bridgend	360	278	82
Cardiff	1,698	1,987	(289)
Vale of Glamorgan	552	447	105
	2,610	2,712	(102)

The £82k underspend relating to Bridgend Council is the product of a vacant post, plus underspend on transport within the Licensing section, which has generated an underspend of £58k. A reduction in the number of dogs being presented to the Authority is recognised within the Kennelling and Vets section where there is a resulting underspend of £24k, and is in line with the national trend in numbers.

The £289k overspend for Cardiff Council predominantly relates to a £198k overspend in the Licensing section. This is due to unbudgeted Employee costs, Disclosure & Barring Service costs, and the 3 year taxi survey has cost more than the allocated budget. HMO Plasnewydd and Cathays are projecting a combined underspend of £22k, which is due to underspends across all headings.

Replacement vehicle acquisition costs have been included the IMLU projection. Cardiff Council have advised that the £101k overspend in the Illegal Money Lending Unit will be fully recovered by grant, in conjunction with a small top up from centrally held funds. The £5k overspend in Cardiff Port Health Authority will be met by its ring fenced funds. The £6k overspend within the Night Time Noise Service relates to activity in excess of budget. The Student Liaison service has a £1k overspend.

The underspend of £105k relating to Vale of Glamorgan Council is due to expenditure being below budget across all elements of this budget. The Licensing unit has underspend of £61k which is the result of issues relating to staffing levels plus an underspend on Supplies and Services. A reduced uptake on the Vale's Kenneling and Vets Service has resulted in underspend of £18k and is consistent with a reduction in pressures felt within the Bridgend service provision. Pest Control has underspend of £15k which is due to lower than budgeted costs within both Transport and Supplies & Services. Additional Licensing has an £11k underspend, which is due to a lower than anticipated activity level throughout the year.

### 30. Net Position

In accordance with the Joint Working Agreement (JWA), income budgets remain the responsibility of each Participant Authority and are shown in this report for completeness.

All adjustments in respect of income from the sale of multi-year fees and charges, but linked to future periods have been administered by the legacy Authorities, and will be drawn upon in the year to which the income relates.

The table below illustrates a provisional underspend of £139k at year end against a net budget of £6.059m, having taken into consideration the projected income received by the Participant Authorities. It has been prepared using income figures provided by the Authorities, and excludes implementation costs.

	Net Budget £000's	Provisional Outturn £000's	Outturn Variance £000's
Bridgend	1,351	1,229	122
Cardiff	3,267	3,411	(144)
Vale of Glamorgan	1,441	1,280	161
	6,059	5,920	139

A full summary of the projected net outturn position is illustrated in Appendix 1.

The net position for Bridgend Council is an overall underspend of £122k against a net budget of £1.351m. Licensing income exceeded budget by £32k, this is then partially offset by Core income which under recovered by £58k.

The net position for Cardiff Council is an overspend of £144k, against a net budget of £3.267m. Income received by the Authority is £16k below budget. Assumptions have been made that the overspend in Cardiff Port Health will be met by its ring fenced funds, and that any shortfall in IMLU grant will be met by centrally held funds. The change in performance of income from previous reports is directly linked to adjustments in respect of the purchase of multiple year licenses adjusted for at year end by Cardiff Council within both the Licensing and HMO sections.

The Vale of Glamorgan Council is reporting an underspend of £161k against a net budget of £1.441m. This is made up of Core income being in excess of target by £48k, due to unbudgeted legal costs being recovered in the period which is then offset by income being below target within Pest Control where there is a £10k shortfall against target. Licensing Income was £30k below target.

## 31. Draft Statement of Accounts

The draft Statement of Accounts for the Shared Regulatory Service is attached to this report as Appendix 2. The draft Statement is to be signed by the s151 Officer by the 30th June 2107, and audited by the Wales Audit Office by the 30th September 2017.

The Balance Sheet now holds net Tangible Assets of £95k, which consist of equipment and vehicle purchases, plus net Intangible Assets of £99k which relates to the purchase of the IT system purchased. These were 100% funded by revenue and purchased in year.

As at the 31st March 2017, the balance of Usable Reserves held by the SRS is £530k. This can be broken down as £252k retained from the 2015/16 underspend as detailed by the September 2016 SRS Committee, £102k to fund the Implementation costs slipped into 2017-18, the £173k provisional underspend from 2016-17 plus £3k Proceeds of Crime Act (POCA) Funds.

The net surplus of £173k will be held within the Usable Reserves element of the Balance Sheet until the annual accounts have been signed off by the Wales Audit Office.

The Joint Working Agreement (JWA) states that the treatment of any surplus of deficit balance held by the Joint Service requires agreement by the Joint Committee following completion of the audit of the accounts. Proposals for the distribution or recovery of funds from the legacy Authorities will be brought to the September 2017 Committee for approval.

## THE NEXT STEPS

32. In summary, the SRS has built upon a successful start. Services continue to be delivered in accord with the agreed standards, new ways of working have been developed and embedded into the day-to-day routine and the requisite financial savings have been delivered in Year 2.

In 2017/18, the service's principal challenge is to implement fully the target-operating model to deliver high quality services and meet all our partners differing financial pressures. The Key Milestones for 2017/18 include:

- Delivery of the SRS Business Plan 2017-2018
- Implementation of the SRS Workforce Plan
- A review of the partnership, governance and scrutiny arrangements and organisational structure for the SRS
- Produce a financial projection for the delivery of the SRS for the period 2018 - 2020.
- Introduce the Lalpac licensing system at Bridgend
- Deliver a range of training events for elected members across the three Councils

- Enhanced arrangements for delivering services with partner organisations

### **Resource Implications (Financial and Employment)**

33. The implications are contained in the body of the report

### **Sustainability and Climate Change Implications**

34. Sustainability and climate change implications have been taken into consideration when drafting the SRS Business plans referenced in this report.

### **Legal Implications (to Include Human Rights Implications)**

35. The Council has a duty to improve under the Local Government (Wales) Measure 2009. The report outlines achievements in 2015/16.

### **Crime and Disorder Implications**

36. Crime and disorder implications have been taken into consideration when drafting the Business plans referenced in this report.

### **Equal Opportunities Implications (to include Welsh Language issues)**

37. Equalities issues have been taken into consideration when drafting the Business plans referenced in this report.

### **Corporate/Service Objectives**

38. The Annual report demonstrates the partner Councils commitment to improving social, economic, environmental and cultural well-being and promoting sustainable development in line with the Well-being of Future Generations (Wales) Act 2015. Improving how the Council evidences and reports achievement of its Well-being Outcomes contributes towards promoting well-being.

### **Policy Framework and Budget**

39. This report is a matter for the Joint Committee

### **Consultation (including Ward Member Consultation)**

40. There are no implications for Ward Members resulting from this report.

### **Relevant Scrutiny Committee**

41. Scrutiny is undertaken at each partner council

### **Background Papers**

The Shared Regulatory Services Business Plans 2015/16, 2016/17 and 2017/18  
The Joint Working Agreement executed on 10th April 2015

### **Contact Officer**

Head of Shared Regulatory Services  
Head of Financial Services



## **Officers Consulted**

Corporate Director Operational and Partnership Services, Bridgend County Borough Council

Director of Environment, City of Cardiff Council

Director of Environment and Housing Services, Vale of Glamorgan Council

Legal Services, Vale of Glamorgan Council

Accountant, Vale of Glamorgan Council

### **Responsible Officer:**

Miles Punter - Director of Environment and Housing Services

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**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 2 NOVEMBER 2017**

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**CARDIFF COUNCIL ANNUAL COMPLAINTS REPORT 2016 - 17**

**FINANCE, MODERNISATION AND PERFORMANCE  
(COUNCILLOR CHRIS WEAVER)**

**AGENDA ITEM: 3**

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**REPORT OF DIRECTOR OF COMMUNITIES, HOUSING & CUSTOMER SERVICES**

**Reason for this Report**

1. To report to the Cabinet on the operation of the corporate complaints procedure between 1<sup>st</sup> April 2016 and 31<sup>st</sup> March 2017. The statistics for corporate complaints are set out by service area.

**Background**

2. Complaints provide valuable information about how we are performing and what our customers think about our services. Most people who complain tell us what we have done wrong and how we can do better; we use this information to improve our services, strengthen our relationships with customers and make better use of our resources. Publishing this annual report demonstrates the Council's commitment to transparency and a positive approach to dealing with and learning from complaints.
3. The Council's complaints procedure reflects guidance given in the Welsh Government Model Policy and Guidance Paper for Handling Complaints. This was further supported by the Public Services Ombudsman for Wales. Complaints Managers record information about the number of complaints they have received and how quickly they acknowledged and responded to the complaints. This information is submitted to the Corporate Complaints Team at the end of each quarter. The Corporate Complaints Team use this information to ensure that the complaints policy is being adhered to. Meanwhile, the Public Services Ombudsman for Wales captures detailed information regarding complaints against the Council which is included in his annual report.

**Complaints**

4. A total of 1,787 complaints were recorded during 2016-17. This is a 23.5% decrease from the previous year, when 2,335 complaints were recorded.

## **Compliments**

5. As an organization, we receive many positive comments about our staff and the services we provide. Knowing where things are working well and are appreciated is as important to capture as knowing where things are perhaps not working. We therefore keep a record of the compliments we receive as well as the complaints. Good practice and learning can then be circulated across the Council.
6. Across the year 2016-17, Cardiff Council received a total of 2,122 recorded compliments, which is a 43.1% increase from the previous year when 1,483 compliments were recorded.

## **Ombudsman Complaints**

7. Recommendations in Ombudsman reports and observations about our strengths and weaknesses help us improve our processes. The Ombudsman closed 133 cases involving Cardiff Council in 2016-17 compared to 143 cases in 2015-16. 4 of these cases were accepted for further investigation of which 3 led to an Ombudsman report. The Ombudsman received 43 premature complaints (defined as when the Council has not had a reasonable opportunity to deal with the complaint itself). It is felt this is due to public perception that the Ombudsman can intervene and make decisions without the Council initially considering the complaint. A further 38 cases were declined because the Ombudsman was satisfied with action proposed or taken by the Council and 31 cases were out of the Ombudsman's jurisdiction.

## **Reason for Recommendations**

8. To enable Cabinet to have corporate overview of the complaints and compliments process during 2016/17 and to note the information contained within the report.

## **Financial Implications**

9. This report has no direct financial implications. Any financial implications of future changes made to improve processes and learn from complaints will need to be met from existing resources.

## **Legal Implications**

10. There are no direct legal implications arising from this report.

## **HR Implications**

11. There are no HR implications arising from this report.

## **RECOMMENDATIONS**

Cabinet is recommended to note the contents of the report.

**SARAH MCGILL**

**Director of Communities, Housing & Customer Services**

27 October 2017

*The following appendices is attached:*

Appendix 1 – Cardiff Council Annual Complaints Report 2016-17

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# **Cardiff Council Annual Complaints Report 2016-17**



# Cardiff Council Annual Complaints Report 2016-17

## Foreword

I am pleased to be able to present Cardiff Council's Annual Complaints Report for 2016/17.

In this report you will find details of how we have performed in dealing with complaints. For the fifth year in a row, we have recorded a reduction in the number of complaints received. However, the real headline is the improvements made in terms of attitude towards complaints from managers and staff. Complaints can provide a rich source of learning and it is encouraging to see the number of service changes that have emerged as a result of complaints. Examples of learning from complaints are situated throughout the report and I feel this clearly illustrates how we are listening to the public when they are not happy. We will continue to work at this to ensure that the lessons learned make a difference.

I'm also pleased to note that for the 6th consecutive year the Public Ombudsman for Wales have not issued any Section 16 reports against the Council. Of the 133 complaints that the Ombudsman closed during 2016/17, only 3 were taken forward to investigation.

Our report also contains information on the positive feedback that customers provide us in terms of their satisfaction with aspects of Cardiff Council. Though this is a positive report, we are not complacent about the need to make further improvements, particularly in the area of identifying learning from those complaints that are either upheld or partially upheld.

Finally, I would like to take this opportunity to thank the hard working and dedicated staff who work in front-line services and those whom manage complaints. Our success is down to their hard work and commitment and I thank them for the service they provide every day to Cardiff.

**Councillor Christopher Weaver** - Cabinet Member for Finance, Modernisation & Consultation



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# Cardiff Council Annual Complaints Report 2016-17

## Reason for this report

To report to the Cabinet on the operation of the corporate complaints procedure between 1st April 2016 and 31st March 2017. The statistics for corporate complaints are set out by service area.

A complaint is defined within the Council as:

*“an expression of dissatisfaction, however made, about the standard of service, action or lack of action by the Council, or its staff, affecting an individual customer or group of customers.”*

Complaints recorded under the corporate complaints procedure do not include ‘first time’ representations which are effectively requests for a service and dealt with as such. A new report of a pothole or a missed bin for example, would not be registered as a complaint, but as a request for service. Of course, in the event that we failed to respond to the ‘request’ appropriately, then that may generate a complaint.

### Our complaints procedure

The Council’s complaints procedure reflects guidance given in the Welsh Government Model Policy and Guidance Paper for Handling Complaints. This was further supported by the Public Services Ombudsman for Wales.

**Complaint received.** A complaint can be registered via any Council venue and once received, should be forwarded to the Service Area Complaints Manager. Every Council service area has a lead officer for complaints. The

Complaints Manager will ensure complaints are acknowledged and recorded and facilitate the investigation of the complaint in accordance with the corporate complaints procedure.

**Acknowledgment.** The Complaints Managers will aim to acknowledge complaints within 5 working days. At this stage, we can let the customer know who is dealing with their complaint and our understanding of what the customer’s complaint entails. We can also let the customer know that a full response will follow within 20 working days of our receipt of the complaint.

**Full response.** At the end of an investigation, a response should be produced depending on how a customer has indicated they prefer to be contacted. The response should include the outcome of the investigation as well as any necessary action taken for service improvement. The Ombudsman states that the aim of every formal investigation should be to “investigate once, investigate well”. Advice is also included on what the complainant should do if they remain dissatisfied with the outcome – to contact the Public Services Ombudsman for Wales.

**Public Services Ombudsman for Wales.** Complaints that progress to the Ombudsman will have been thoroughly investigated by the service area. If a complainant remains dissatisfied, it is for the Ombudsman to assess whether there is any evidence of service failure or maladministration not identified by the Council.



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# Cardiff Council Annual Complaints Report 2016-17

## Complaints for Cardiff Council in 2016-17

A total of **1,787** complaints were recorded during 2016/17. This is a **23.5%** decrease from the previous year, when 2,335 complaints were recorded.

Year	Number of complaints
2016-17	1,787
2015-16	2,335
2014-15	2,418
2013-14	2,555
2012-13	2,671

COMPLAINTS HAVE DECREASED BY

**23.5%**

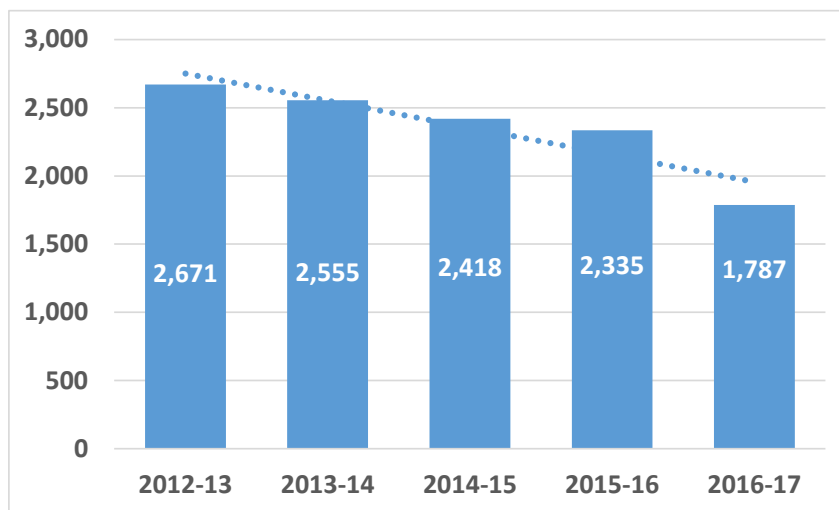
WHEN COMPARED TO 2015/16

Complaints received

Cardiff population

Total number of complaints received

Number of complaints per 1,000



The population of Cardiff is estimated at 361,468 (Source: <https://statswales.gov.wales>). In 2016/17, Cardiff Council handled 1,787 complaints from customers, meaning that an average of 4.9 complaints were received per 1000 residents.



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## Cardiff Council Annual Complaints Report 2016-17

### Complaints breakdown for Cardiff Council

Service Area	Number of complaints 2015/16	Number of complaints 2016/17
Waste Strategy & Enforcement	826	405
Housing & Communities	425	404
Arts & Theatres	296	286
Finance	109	115
Customer Services	115	113
Traffic & Transportation	166	111
Neighbourhood Services	n/a	87
Parks & Sports	55	50
Economic Development	37	46
Highways Maintenance	79	40
Bereavement & Registration Services	42	40
Education & Lifelong Learning	54	34
Leisure & Play	108	21
Planning (including Building Control)	15	18
Central Transport Services / Facilities Management / BA	1	7
Governance & Legal Services	3	5
Harbour Authority	4	4
Communications & Media	0	1
<b>Total</b>	<b>2335</b>	<b>1787</b>

NB Complaints for Children's Services and Health & Social Care are recorded under their statutory complaints procedure (please see page 17).



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# Cardiff Council Annual Complaints Report 2016-17

## Compliments for Cardiff Council

As an organisation, we receive many positive comments about our staff and the services we provide. Knowing where things are working well and are appreciated is as important to capture as knowing where things are perhaps not working. We therefore keep a record of the compliments we receive as well as the complaints. Good practice and learning can then be circulated across the Council.

Across the year 2016-17, Cardiff Council received a total of **2,122** recorded compliments, which is a **43.1%** increase from the previous year when 1,483 compliments were recorded. There was a concern following last year's report that the good service provided every day by some Council departments was not being represented. We have updated our recording procedure to ensure our compliments are captured and this may account for the increase during 2016/17.

Service Area	Number of compliments 2015/16	Number of compliments 2016/17
Customer Services	176	<b>570</b>
Housing & Communities	222	<b>362</b>
Bereavement & Registration Services	164	<b>251</b>
Economic Development	129	<b>210</b>
Arts & Theatres	204	<b>194</b>
Strategic Planning, Highways, Traffic & Transportation	129	<b>159</b>
Waste Strategy & Enforcement	265	<b>137</b>
Parks & Sports	116	<b>110</b>
Neighbourhood Services	n/a	<b>91</b>
Harbour Authority	37	<b>17</b>
Leisure & Play	21	<b>11</b>
Finance	13	<b>10</b>
<b>Total</b>	<b>1483</b>	<b>2122</b>



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# Cardiff Council Annual Complaints Report 2016-17

A few examples are provided below of the types of compliments we have received:

## Arts & Theatres

"Excellent show this afternoon. In my opinion, the New Theatre never fails."

"We attended a showcase last night and, as we are a special school, getting our pupils out to events with wheelchairs, specialised equipment and medication - as well as all their difficulties - is no mean feat! I have to say that without the fantastic staff at St Davids Hall this would have been a very stressful event! Please thank all the staff who helped us at the stage door, with the goods lift, access to the auditorium and getting us home again, the lovely staff who showed us to our seats and helped us with the change of dressing room! Nothing was too much effort. Thank you all very much!"

## Bereavement & Registration Services

"The whole process from registration to cremation was carried out in a friendly, helpful and professional manner. The family is very grateful for everything at this difficult time."

## Central Transport Services

"I want to send a thank you email to Central Transport Service – I had an MOT today and received a quick, friendly service and wanted to say a big thank you."

## Citizen Hub

"The customer was very pleased to report that she was successful in finding employment after the service she received from the Into Work Advice Team at Ely Hub. She commented, "I had so much help from the Hub at Caerau. The people there were so helpful and polite. It had been many years since I needed a CV and they made it so easy for me. I am more than pleased to say that I was accepted on the first job I handed my CV to."



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# Cardiff Council Annual Complaints Report 2016-17

## Connect to Cardiff

"Fab service from @cardiffcouncil call centre. Friendly, helpful and efficient. Great to get through to someone local."

## Economic Development

"I just wanted to write and say it was a lovely surprise to see the new Christmas lights in town. I didn't object to the previous decorations, but it is always nice to have something different. My favourite of all, has to be the deer, they are wonderful. Having several makes quite an impact and I love them. Thank you for adding to the shopping experience, and keeping things interesting. It is appreciated."

## Events

"Just wanted to say a huge thank you to you and your team who delivered an amazing banquet for our wedding on Saturday! The team were simply wonderful - so polite and helpful! And the food was delicious! Better than we could have hoped! Thank you to your chefs for producing our bespoke vegan lasagne dish - the feedback on that from our vegan guests was really great. The whole planning process with you guys was so smooth and hassle free which was so reassuring. Our initial meeting last year went so well and from that moment we knew we were in good hands!"

## Finance

"Please can you pass onto your entire (Recovery) team what a great and polite job they are doing. I say this as I have had a few dealings with a few members of staff who have all been wonderful and very helpful. All who have looked into my case have all been very helpful and polite at every point. So I can honestly say you have a wonderful department that can only make the correct decisions when they have all the correct information in front of them. A credit to Cardiff City Council."



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# Cardiff Council Annual Complaints Report 2016-17

## Harbour Authority

"A quick email to thank the Harbour Master and his team for all your support leading up to and during the regatta this weekend. I was particularly appreciative of your time and ... I'd also like to send our thanks to Barrage control who were friendly and flexible accommodating our needs. Everything came together, and early signs from athletes and social media suggest the event was a success."

## Highways

"A compliment has been received in respect of a drop kerb installed. The lady is over the moon and asked for her appreciation to be passed on to the team. The lady uses a wheelchair and the improvement is very much appreciated by her and her husband."

## Housing

"A tenant called to compliment Clean & Clear Operatives within the Caretaking Services Team, commenting that the Council has "two fantastic men working for them". She explained that the Operatives had cleared her neighbour's overgrown garden. The tenant was impressed that the two men knocked on her door beforehand to advise her that there would be a bit of noise, adding that they were extremely polite and cleared up "very nicely after themselves". She wished to express her gratitude and thanks to the Council for getting this problem sorted out."

## Leisure

"My surgeon advised me to take up swimming as I can't run anymore. If it hadn't been for the truly amazing helpful staff at Pentwyn Leisure Centre I would 100% not be as well as I am now. I have swam pretty much every day for over an hour there. From front of house staff, managers to cafe personnel, they are nothing but polite, smiling and professional all the time. They make going there a pleasure. The lifeguards...encouraged me with kind words and smiles. They inspired me and have time for everyone that goes there and don't hold back the smiles. If one of them was having a bad day, you'd never know it. I would be very grateful that you could acknowledge what marvellous work they do."

## Libraries

"What would we do without this library service, a lifeline for me and a great place to bring my children. A haven!"



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# Cardiff Council Annual Complaints Report 2016-17

## Parks

"Just wanted to say a massive thank you to you and your team who were absolutely brilliant on the weekend (Great Taff Tidy)! Can you please pass on our thanks to everyone! Everything was collected so efficiently and contributed to an amazing weekend!"

"A huge thank you to you and all your team for helping us create another wonderful (RHS Flower) show in a very sunny Cardiff this year. This year we welcomed over 25,600 visitors to the show. We have had an overwhelming number of positive comments regarding the impressive high standard of your displays and exhibits. I have really enjoyed working with you all and look forward to developing the Cardiff show with you in the future."

## Planning

"(Planning are) like a breath of fresh air compared to other local authorities. Mind you we have found Cardiff to be the most outstanding authority in the whole of Wales where we have experience of. The processing of planning applications and team working is apparent so many thanks for your directive."

## Responsive Repairs

"It is always a pleasure to give credit for a job well done. We recently had two of our bedroom ceilings re-plastered by two council workmen. From start to finish they were superb....they were a credit to the council. Taking care and consideration for our home... keeping it spotless throughout the job and leaving it as they found it. They went beyond what was expected of them by moving furniture as we could not. Their workmanship was beyond fault. True tradesmen these were. One would hope you can pass on our commendations as they deserve a pat on the back as good ambassadors for council."

## Waste Strategy & Enforcement

"Please pass on our thanks to the waste management team who dealt with (the removal of rubbish) so quickly and efficiently. I am only sorry that there is such a need to clean up after those who have no care for the environment that we all share. I think the City does an excellent job in dealing with and removing all our refuse each week."

"The Street Cleansing Team have just been, they did an unpleasant job with plenty of enthusiasm and absolute professionalism, the guys in the team are a credit to you. They've cleared everything up and it's really put myself and my neighbours at ease. Really impressed with the service and very grateful."



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# Cardiff Council Annual Complaints Report 2016-17

## Ombudsman Complaints 2016-17

The Ombudsman closed **133** cases involving Cardiff Council compared to 143 cases in 2015-16. 4 of these cases were accepted for further investigation of which 3 led to an Ombudsman report. The Ombudsman received 43 premature complaints (defined as when the Council has not had a reasonable opportunity to deal with the complaint itself). It is felt this is due to public perception that the Ombudsman can intervene and make decisions without the Council initially considering the complaint. A further 16 cases were declined because the Ombudsman was satisfied with action proposed or taken by the Council. The Ombudsman closed the cases for the following reasons:

### Reason for closing the case

	2015-16	2016-17
Complainants had not exhausted the Council's complaints process - they were referred back to the Council	46	<b>43</b>
Cases closed by the Ombudsman after initial consideration <ul style="list-style-type: none"><li>e.g. no evidence of maladministration or service failure</li><li>no evidence of hardship or injustice suffered by the complainant</li><li>little further would be achieved by the Ombudsman pursuing the matter</li></ul>	58	<b>38</b>
Cases declined because Ombudsman was satisfied with action proposed or taken by Council (Quick-Fix / Voluntary Settlement)	20	<b>16</b>
Cases out of Ombudsman's jurisdiction	15	<b>31</b>
Cases withdrawn by complainant	1	<b>1</b>
Complaint led to an Ombudsman's report – complaint upheld	2	<b>3</b>
Complaint led to an Ombudsman's report – complaint not upheld	1	<b>1</b>
Total	143	<b>133</b>



## Cardiff Council Annual Complaints Report 2016-17

### Ombudsman Complaints - a yearly comparison

The table below shows the total number of complaints made to the Ombudsman regarding Cardiff Council over the last five years.

Year	
<b>2016-17</b>	<b>133</b>
2015-16	143
2014-15	98
2013-14	100
2012-13	93

### Investigations leading to reports

The Ombudsman issues a report if he finds that a complainant has suffered hardship or injustice through the Council's maladministration or service failure.

Under the Public Services Ombudsman (Wales) Act 2005, the Ombudsman can issue one of two types of report following an investigation into a complaint by a member of the public: Section 16 and Section 21.

#### Section 16 Report

The first type of report is known as a Section 16 report. This is issued when the Ombudsman believes that the investigation report contains matters of public interest. The Council is then obliged to publicise the report at its own expense. **For the sixth consecutive year, the Ombudsman issued 0 Section 16 reports against Cardiff Council.**

#### Section 21 Report

The Ombudsman can issue a Section 21 report if the Council agrees to implement any recommendations he has made and if he is satisfied that the case does not raise matters of public interest. The Ombudsman issued 3 Section 21 reports during 2016-17.



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# Cardiff Council Annual Complaints Report 2016-17

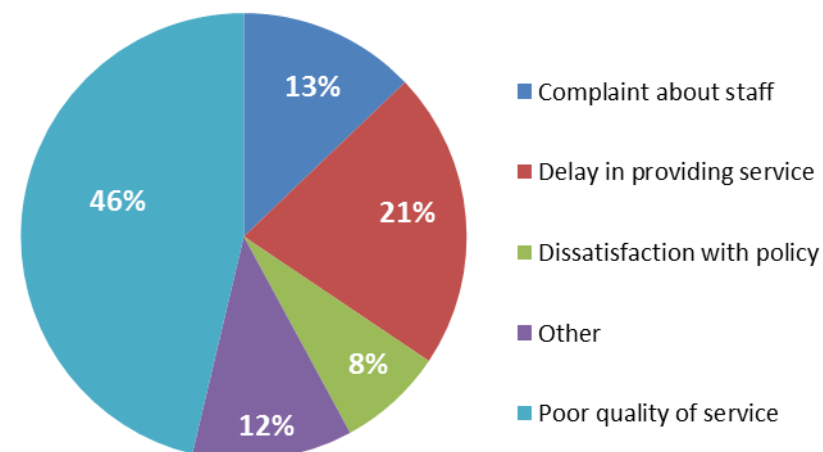
## Communities, Housing & Customer Services

### Housing & Communities

Service Area	2015/16	2016/17
Assessment & Support	87	<b>78</b>
Face to Face Services	15	<b>31</b>
Landlord Services	92	<b>114</b>
Preventative Services	n/a	<b>2</b>
Regeneration, Development & Enabling	4	<b>15</b>
Responsive Repairs Unit	227	<b>164</b>
<b>Total</b>	<b>425</b>	<b>404</b>
Number / Percentage of complaints responded to on time	416 (97.9%)	<b>392 (97.0%)</b>
Complaints about staff	69 (16.2%)	<b>52 (12.8%)</b>
Delay in providing service	93 (21.9%)	<b>87 (21.5%)</b>
Dissatisfaction with policy	19 (4.5%)	<b>31 (7.7%)</b>
Other	32 (7.5%)	<b>47 (11.6%)</b>
Poor quality of service	212 (49.9%)	<b>187 (46.3%)</b>
<b>Total</b>	<b>425</b>	<b>404</b>

**Housing & Communities** continue to adopt a positive, constructive approach to complaints. Each case is investigated thoroughly to establish exactly what (if anything) has gone wrong; the primary aim being to resolve the matter for the individual. All complaints are also considered from the viewpoint of making any necessary changes which could improve services to customers and minimise potential future complaints

Categories of Complaints for Housing & Communities



The causes for justified complaints are monitored and considered regularly, with recommendations being made to Senior Managers. Any patterns in complaints causes can then be addressed and the appropriate action taken to ensure best practice; for example, changes made to procedures or standard letters being amended.

There were previously two specialised Housing Complaint Officers and the scope of their roles has expanded greatly since their introduction in 2015.



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## Cardiff Council Annual Complaints Report 2016-17

Consequently, there are now four officers who deal with complaints relating to a number of teams including Independent Living Services, Housing repairs and Planned Maintenance, Caretaking, Social Lettings, Anti-Social Behaviour and Tenancy Management. This allows for a consistent and thorough approach to all complaint investigations.

The complaints received are diverse and although it is acknowledged that there is an increase in the number of complaints about **Landlord Services**, there is no identifiable cause or pattern and this therefore appears to be a natural fluctuation in the number of complaints received.

It is pleasing however to see the continuing fall in complaints about the Responsive Repairs Unit. This follows a restructure which improved the way that the work was managed. Additionally, these complaints are now dealt with by Housing Complaints Officers on a specialist Complaints and Enquiries Team.

### Learning from complaints – Responsive Repairs Unit

One of the Council's main success stories with regards to complaints is the repeated annual decrease in complaints received by the Responsive Repairs Unit (RRU). Housing repairs is one of the most visible services the Council provides to its residents and accordingly, is the main service through which many residents judge the Council overall. It is therefore of great importance that the Council attempts to get repairs 'right first time' and the department has conducted regular reviews on the number and type of complaints received. The improvements implemented speak for themselves as the department have received a consecutive decrease in the number of complaints received for four years in a row (440 in 2013/14, 333 in 2014/15, 227 in 2015/16 and 164 in 2016/17).

A common theme amongst complaints received has been about delays to the work taking place. The RRU are now able to keep our customers informed about potential delays as customers will now receive a text message notifying them of their appointment and a reminder text 24 hours before the appointment and a further reminder when the Operative is on his way. All RRU operatives have also been issued with smart phones to enable mobile working and scheduling. This change has allowed the RRU to start offering morning or afternoon appointments to customers, or a slot to avoid the school run.

The RRU have also arranged for more repairs to be undertaken by in-house operatives as opposed to external contractors. This means the department are able to retain sufficient oversight of the jobs reported and take ownership of reported issues. These changes have reduced costs and improved the service to our tenants, which is clearly demonstrated by a significantly reduced number of complaints.



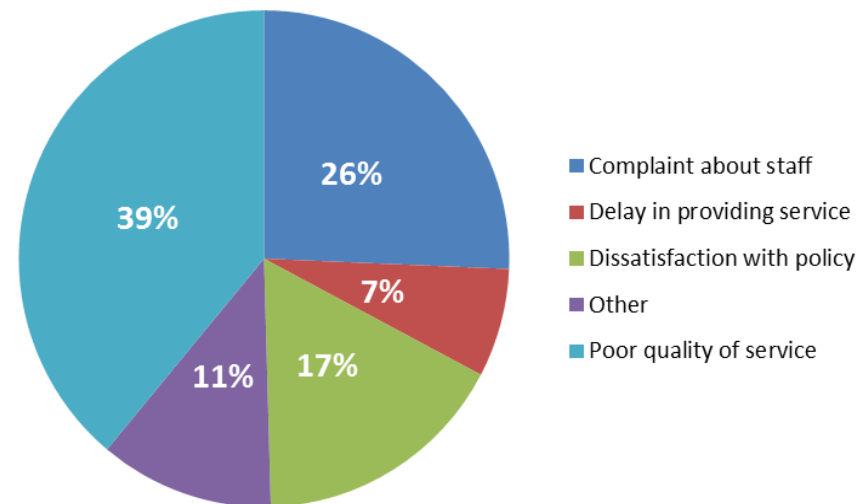
# Cardiff Council Annual Complaints Report 2016-17

## Customer Services & Communities

Service Area	2015/16	2016/17
Adult Community Learning	5	4
Connect to Cardiff	22	33
Libraries	76	12
Rent Smart Wales	n/a	56
24/7 Services	12	8
<b>Total</b>	<b>115</b>	<b>113</b>
Number / Percentage of complaints responded to on time	112 (97.4%)	107 (94.7%)
Complaints about staff	30 (26.1%)	29 (25.7%)
Delay in providing service	0 (0%)	8 (7.0%)
Dissatisfaction with policy	1 (0.9%)	19 (16.8%)
Other	58 (50.4%)	13 (11.5%)
Poor quality of service	26 (22.6%)	44 (38.9%)
<b>Total</b>	<b>115</b>	<b>113</b>

The **Adult Community Learning (ACL) Service** received **4** complaints for 2016/17, a reduction from **5** in 2015/16. This is a positive reflection on the service which continues to thrive supporting vulnerable people to maximise their employment opportunities or help them progress into further education, offering bespoke courses to create employment and skills for life opportunities to those most in need. We also offer a large number of recreation based courses to the community which assist with health and wellbeing.

## Categories of Complaints for Customer Services & Communities



### Learning from Complaints

An ACL complaint that was partially upheld related to a learner who was deaf and required a BSL interpreter to attend a Learning for Life recreation based programme. A challenge has been that these courses are based on a cost neutral model as they are not funded by Welsh Government. The fees that learners pay are kept as minimal as possible to cover tutor and venue costs. A BSL interpreter comes with a fee attached and this was in danger with the class financially making a loss. However, once highlighted we recognised the need to make courses accessible to all and made the provision available to the learner and will continue to do so.



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## Cardiff Council Annual Complaints Report 2016-17

**Connect to Cardiff (C2C)** has received **33** complaints, compared to 22 in 2015/16. However, of the 33 complaints received, 9 (27%) of these were not upheld. Furthermore, 4 (12%) complaints were only part upheld.

The ability to confidently form decisions of this nature can mostly be attributed to C2C's ability to comprehensively investigate complaints received via our call-recording software which provides us with the ability to listen to conversations with customers from start to end and therefore fully understand the events that have led to a complaint. Similarly, we have a dedicated Stats and Support team that are able to offer accurate data on wait times, call lengths and the frequency of customer contact. In recent years, up-dates to this software has meant we are also able to capture the conversations taking place between C2C operatives and back-office staff meaning we can offer assistance and support to our colleagues in other service areas in their own complaints investigations.

The Waste Restrictions programme that was rolled out by the Waste Management department between July 2015 and February 2016. Pre-restrictions C2C logged a total of **53,297** Waste Management related cases which is an average of **7,614** cases per month. During Waste Restrictions C2C logged a total of 104,027 cases which is an average of 14,861 cases per month. This is an increase of 95%. This big influx of contact over a concentrated period also contributed to longer wait times and therefore correlates to an increase in the quality of service category. A thorough analysis of the data captured over this time means we are better equipped to predict resourcing requirements for any further projects of this scale led

by our service area partners and should contribute to a decrease in complaints in this year in the years following.

Comments in relation to staff members have been analysed and in the main, are in relation to a large intake of new staff members at C2C due to leavers moving into different areas within the directorate. However, C2C employee a full time coach and trainer and in the cases that have related to human error in advice or process followed, full refresher training has taken place in order to correct the behaviour and avoid a re-occurrence.

During 2016/17, C2C handled 585,969 calls and 74,124 emails and therefore the 33 complaints received equate to just 0.005% of our customers registering dissatisfaction. In counterbalance, the centre also achieved an annual customer satisfaction rate of 96.7% and 128 customer compliments which is therefore a good indication that in the vast majority of cases, C2C are still providing a high quality service for our customers. C2C are also proactive in giving staff the tools they need to avoid complaints being made in the first place and each call handler meets with their line manager each month on a 121 basis and also received call quality monitoring feedback which is big contributor to the low overall complaint percentage as stated above.

**Libraries** received **12** complaints in 2016/17 which is a substantial decrease from the 76 that were received in 2015-16. This is particularly gratifying in light of the increase in visitor figures during the year which rose to 2,411,057 which relates to a 9.5% increase when compared to 2015/16.



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## Cardiff Council Annual Complaints Report 2016-17

5 of the complaints related to security staff located at the Central Library Hub. Central Library Hub was visited by 651,216 visitors during 2016/17. There are unfortunately a small proportion of customers who present anti-social behaviour and these individuals are on occasion asked to leave the facility in order to protect the health and safety of all visitors and staff. The security team are fully managed and monitored by 24/7 Services who also remotely monitor the building and customer interactions via the Alarm Receiving Centre (ARC) at Wilcox House.

3 of the complaints relate to ICT including delays with logging on, access to a website and accessibility on the weekends. It is encouraging to note that of the 273,665 hourly public computer sessions that took place in 2016/17, only 0.001% resulted in a complaint being registered.

### Learning from Complaints

1 of the complaints was related to customer service. In this instance procedures were reviewed and new work instructions issued and briefed to relevant staff to ensure improvements were delivered.

1 of the complaints was related to a potential Information breach through an unsolicited email. The matter was referred to the Data Protection Team who assisted with a review of current processes.

1 of the complaints was a combination of customer service, security, staff attitude and general standards largely related to newspaper availability. New processes have been implemented to deliver

improvements in the availability of newspapers within Central Library Hub.

1 of the complaints referred to the temporary location of the Local Studies Service at Dominions Way, Newport Road. Cathays Branch and Heritage Library, which incorporates the Local Studies Service, opened in April 2017 and improvements are being delivered in the services and facilities available to customers.

It is pleasing to note that the Library Service received 378 positive customer feedback notifications during 16/17 and continues to be highly valued by the citizens that it serves. The Library Service continues to generate customer loyalty as well as attracting new audiences.

**Rent Smart Wales** was introduced in November 2015 with the enforcement provisions being implemented from November 2016. Call volumes during the autumn of 2016 increased from an average of 3,500 / month to over 20,000 in October and November. During this period landlords and managing agents did express their objection to the scheme being introduced and complained about the inability to access support due to the high call volumes.

Both of these elements feature in the type of formal complaint which were received by the service. 88% of the complaints were in the six months from July – December, representing this deadline period. 18 (32%) of the complaints are recorded as 'dissatisfaction with policy' where customers



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## Cardiff Council Annual Complaints Report 2016-17

were simply unhappy about the introduction of Rent Smart Wales – this does not in itself reflect a failure of the service.

### Learning from Complaints

Because of the huge increase in call volumes after the introduction of enforcement provisions, the service was closely managed with various strategies implemented to manage the considerable customer demand. Immediately following the deadline, call volumes returned to a manageable level as did the complaints we were receiving.

**24/7 Services** received **8** complaints within 2016/17, a decrease from the 12 recorded the previous year. This decrease is particularly pleasing as the service has expanded over the year with an increase of customers and the addition of a new service - Meals on Wheels. Of the complaints received within the unit; 5 related to Telecare, 2 were for the Alarm Receiving Centre (ARC) and 1 for Sheltered Housing, however this team is no longer part of 24/7 Services.

Telecare Cardiff continues to deliver the service to 4,500 customers, responding to over 223,000 calls in the last year.

### Learning from Complaints

Although there were no complaints in relation to staff members, there were 5 complaints received in relation to poor quality of service. As a result, a review of all processes, procedures, training plans and

supporting documentation has taken place. This combined with the recent recruitment of a dedicated training and coaching role will ensure all new and existing staff are trained effectively enabling them to be competent within their roles.

24/7 services has also achieved accreditation from the British Standards Institute ISO 9001/2015 recognising our Quality Management System early in 2017. An important part of this accreditation is the full investigation into each complaint and continual review and improvement of all services provided. High quality customer service is paramount and as in previous years, 24/7 have continue to receive great customer feedback from surveys completed and many compliments.



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# Cardiff Council Annual Complaints Report 2016-17

## City Operations

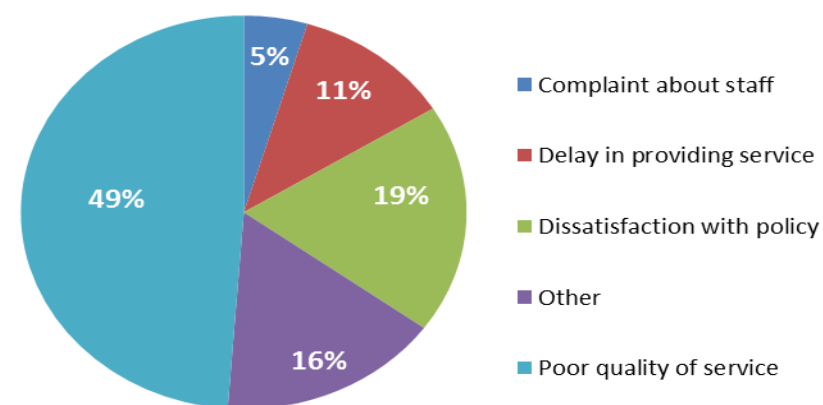
### Strategic Planning, Highways, Traffic & Transportation

Service Area	2015/16	2016/17
Highway Maintenance	40	79
Planning (including Building Control)	18	15
Traffic & Transportation	111	166
<b>Total</b>	<b>169</b>	<b>260</b>
Number / Percentage of acknowledgments sent within 5 working days	132 (78.1%)	211 (81.2%)
Number / Percentage of responses sent within 20 working days	119 (70.4%)	201 (77.3%)
Complaints about staff		12 (4.6%)
Delay in providing service	23 (13.6%)	30 (11.4%)
Dissatisfaction with policy	41 (24.2%)	49 (18.8%)
Other	32 (18.9%)	42 (16.1%)
Poor quality of service	60 (35.5%)	127 (48.8%)

**Highway Maintenance** received **40** complaints for 2016/17. This is a decrease of 39 on the previous year where 79 complaints were recorded. The highest number of complaints received was again related to potholes and paving (15), but the number has decreased as the reporting of potholes has been changed. If the customer is reporting a highway/carriageway defect for the 1st time, the matter is logged as a request for service. If the

customer has reported the matter previously then it is regarded as a complaint. The joint second highest category related to drainage and carriageway reconstruction complaints who both received 5 complaints compared to 8 & 7 the previous year. This is a slight decrease, and further highlights the improved response time for drainage issues and the improved communication that is undertaken with residents for the carriageway/footway works programme.

#### Categories of Complaints for Strategic Planning, Highways, Traffic & Transportation



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## Cardiff Council Annual Complaints Report 2016-17

**Traffic & Transportation** received **111** complaints for 2016/17, which is a decrease of 55 from the total (166) for 2015/16.

The highest number of complaints related to Civil Enforcement which have increased from last year with 28 complaints compared to 20 (which has been due in part to the continued enforcement of moving traffic offences, and an increase in the number of complaints against Civil Enforcement Officers from 5 to 12 ).

The resident parking scheme received the second largest amount of complaints. These complaints have decreased greatly which can be contributed to the streamlining of the resident parking permit policy (pricing structure and application process - a decrease in complaints from 32 to 20). A new parking strategy has also been introduced which will increase resident parking provision.

Road Safety Schemes have also seen a drop in complaints for 2016/17, with 7 complaints received compared to 8 for the year before. As with the improvement in carriageway reconstruction complaints, this can be attributed to improved notification for residents and the general public.

The **Planning Service** (including Building Control) received **18** complaints in total for 2016/17. This is an increase of 3 on the previous year where 15 complaints were recorded. These complaints covered a range of issues relating to planning applications, the planning consultation process, planning decisions and compliance with Building Regulations. This figure is small considering that Development Management determines

approximately 3,000 planning applications per year. Many of these applications will require negotiating with multiple parties to discuss contentious issues and securing decisions using either Delegated Powers or by reporting through the Planning Committee. Planners also investigated approximately 501 Enforcement Cases where planning permission had not been granted, developments had not complied with permissions granted, and unauthorised and alleged unauthorised developments had been undertaken.

For 2016/17, 159 compliments have been received as a whole, which is an increase of 30 on the previous year, and highlights the continued improvement in performance that has been made for 2016/17. Monthly complaints statistics for City Operations are monitored at Departmental Management Team Meetings (DMTs) and this allows managers to identify any trends and take any necessary corrective action.

**Learning from Complaints - MiPermit Portal** - In previous years, a significant amount of complaints had been received concerning the reliability of Pay & Display Parking Meters. Due to a host of reasons, machines on occasion would be out of service or faulty which would cause frustration for the customer and potentially result in a complaint being made against the Council. To combat this issue and to provide greater flexibility, the council has recently introduced a cashless system which will enable users to purchase a “virtual” ticket via their mobile phone. This system will make the need for cash to be provided or a ticket to be displayed obsolete.



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## Cardiff Council Annual Complaints Report 2016-17

**Neighbourhood Services** is a new service area introduced during 2016/17. **87** complaints were received for the service complaints were received for the service, which comprises of; street cleansing, education and enforcement.

Service Area	2015/16	2016/17
Neighbourhood Services	n/a	<b>87</b>
Number / Percentage of acknowledgments sent within 5 working days	n/a	<b>87 (100%)</b>
Number / Percentage of responses sent within 20 working days	n/a	<b>75 (86.2%)</b>

### Learning from Complaints - Street Frontages:

As a result of complaints received regarding the over storage of bags in the frontages of one particular street in Cardiff, the Enforcement Team worked with the Property Management Company who were managing these properties. The Property Management Company arranged, at their expense, additional waste collections to prevent future occurrences of this issue.

Through improved engagement with our citizens, Neighbourhood Services ensures 'the citizen is central to how we work' and recognises that everyone has a role to play in tackling environmental issues such as litter and fly tipping, whilst ensuring our streets are a safe, clean and inspiring place to live. There is great potential for every local authority to enhance this endeavour by working alongside residents and allowing them to take ownership of their own neighbourhoods. We have already seen improvements on our streets and this is reflected in the lower number of complaints received during 2016/17 for comparable services. For example, complaints about dumping / flytipping have reduced (from 23 in 2015/15 to 12 in 2016/17), education / enforcement (from 27 to 17) and most impressively, street cleansing (52 to 15).



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## Cardiff Council Annual Complaints Report 2016-17

Complaints for **Parks and Sports** have reduced to **50** in 2016/17 from 55 in 2015/16.

Service Area	2015/16	2016/17
<b>Parks and Sports</b>	55	<b>50</b>
Number / Percentage of acknowledgments sent within 5 working days	26 (47.2%)	<b>50 (100%)</b>
Number / Percentage of responses sent within 20 working days	48 (87.3%)	<b>44 (88%)</b>
Complaints about staff	0 (0%)	<b>0 (0%)</b>
Delay in service	0 (0%)	<b>1 (2%)</b>
Dissatisfaction with policy	0 (0%)	<b>0 (0%)</b>
Other	55 (100%)	<b>49 (98%)</b>
Poor quality of service	0 (0%)	<b>0 (0%)</b>

Monthly complaint statistics for Parks and Sports continue to be monitored at Business and Operational Improvement Meetings. This allows managers to identify trends and, if necessary, take corrective action. Compliments are also reported at bi-monthly Business and Operational Improvement Meetings, with an impressive 110 compliments received during the year.

### Learning from Complaints

As a result of a complaint received regarding the procedure followed after the termination of an allotment tenancy, we have updated our procedure for plot inspections and tenancy terminations and distributed to all allotment Site Representatives.

Complaints numbers for the **Harbour Authority** have remained static over the last 2 years – 4 in both 2015/16 and 2016/17.

Service Area	2015/16	2016/17
<b>Harbour Authority</b>	4	<b>4</b>
Number / Percentage of acknowledgments sent within 5 working days	3 (75.0%)	<b>4 (100%)</b>
Number / Percentage of responses sent within 20 working days	4 (100%)	<b>4 (100%)</b>
Complaints about staff	0 (0%)	<b>0 (0%)</b>
Delay in service	1 (25.0%)	<b>0 (0%)</b>
Dissatisfaction with policy	0 (0%)	<b>0 (0%)</b>
Other	1 (25.0%)	<b>2 (50.0%)</b>
Poor quality of service	2 (50.0%)	<b>2 (50.0%)</b>

All complaints were dealt with satisfactorily and related to litter and rubbish in the rivers and the bay. Given the nature of the bay which is fed by the rivers Taff and Ely, litter and rubbish will always be a part of the environment there until education can have a positive impact not just in Cardiff but across the country.

### Learning from Complaints

Following the benchmarking exercise carried out in 2016 Cardiff Harbour Authority continues to provide the highest standards in litter collection and clearance with a total of 294 tonnes being removed during 16/17



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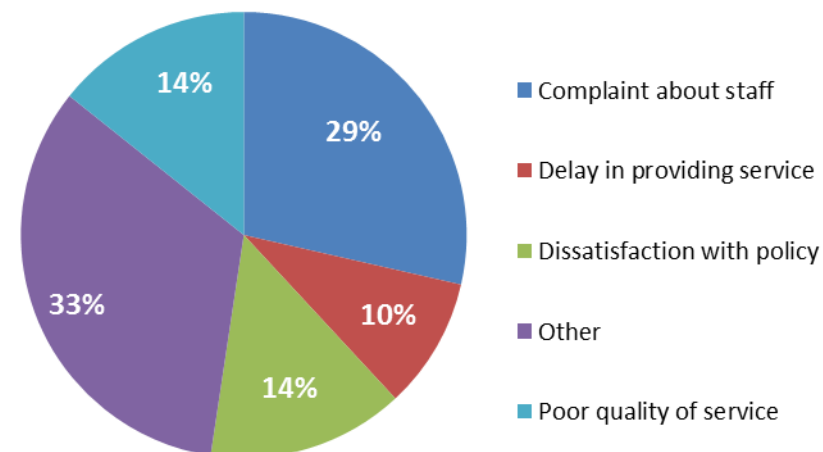


## Cardiff Council Annual Complaints Report 2016-17

Complaints for **Leisure and Play** have decreased from 108 in 2015/16 to 21 in 2016/17. This figure reflects the complaints recorded by the Council to December 2016, at which point the Leisure Service transferred to GLL.

Service Area	2015/16	2016/17
<b>Leisure and Play</b>	<b>108</b>	<b>21</b>
Number / Percentage of acknowledgments sent within 5 working days	87 (80.6%)	<b>8 (38%)</b>
Number / Percentage of responses sent within 20 working days	105 (97.2%)	<b>21 (100%)</b>
Complaints about staff	12 (10.4%)	<b>6 (29%)</b>
Delay in service	0 (0%)	<b>2 (10%)</b>
Dissatisfaction with policy	51 (44.3%)	<b>3 (14%)</b>
Other	50 (46.3%)	<b>7 (33%)</b>
Poor quality of service	2 (1.7%)	<b>3 (14%)</b>

Categories of Complaints for Leisure and Play



Monthly complaint statistics for Leisure and Play to October 2016 were monitored at Business and Operational Improvement Meetings, which allowed managers to identify trends and take corrective action where necessary.

11 compliments were received up until December 2016 at which point the Leisure serviced transferred to GLL.



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## Cardiff Council Annual Complaints Report 2016-17

There were **40** complaints for **Bereavement and Registration** in 2016/17 compared to 42 in 2015/6.

Service Area	2015/16	2016/17
<b>Bereavement and Registration</b>	42	<b>40</b>
Number / Percentage of complaints responded to on time	42 (100%)	<b>40 (100%)</b>

We actively encourage the bereaved to contact them should they experience any issues with a grave or a service at the crematorium. Complaints are received by email, via C2C, in writing and also via Bereavement Services' reception area. Questionnaires are also sent to all those who use our service which provides an additional avenue for people to advise us of any issues with the services they have received.

It is important to note that due to the high number of visitors to the service – with over 4,000 funeral services per annum, approximately 500,000 visitors to our sites, 9,000 registrations for births and deaths, and 1,500 marriages – the complaints are very minimal and would equate to under 0.01% of all visitors to our sites.

Bereavement and Registration Services is a 'right first time' service in which our customers, the bereaved, or those carrying out life changing events are our ultimate priority. Customer comments are scrutinised and service standards have been developed to inform the public. From these standards, monthly performance data is monitored to ensure that we are meeting our commitments to Cardiff's citizens.

Visitors come to us, in the main, in quite a vulnerable state and at differing points in their grieving process. This can mean that small issues may become of increased importance and we actively encourage families to communicate their needs with Bereavement Services. Where an error has occurred we will also proactively apologise in writing to the family concerned to try and stop an issue escalating. Registration Services is also an area where our citizens are undertaking life-changing events and as such we respond to their needs with sensitivity and understanding. Due to the sensitive nature of the service, 100% of complaints received a full response within 5 working days. Furthermore, our level of customer satisfaction averages 99% and 251 compliments were received during 2016/17.

### Learning from Complaints

Requests concerning grounds maintenance works are monitored via a monthly performance indicator to ensure that such requests are dealt with as soon as possible within seven working days. This means that these requests for such works as the turfing of a grave are carried out within a timely manner and do not become complaints. Staff make great effort to ensure that they achieve their target on a monthly basis. It is to be noted that the performance target is often exceeded. Bereavement Services have also introduced an income generating grave maintenance scheme to meet the more individual needs of families and both of these initiatives have seen customer satisfaction levels increase and complaints levels reduce.



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# Cardiff Council Annual Complaints Report 2016-17

## Economic Development

### Waste Strategy & Enforcement

The number of complaints received by Waste Collections has more than halved from 826 in 2015/2016 to **405** in 2016/2017.

Service Area	2015/16	2016/17
<b>Waste Collections</b>	826	<b>405</b>
Number / Percentage of complaints responded to on time	784 (94.9%)	<b>397 (98.0%)</b>

No significant service changes took place in 2016/2017 and therefore it was anticipated that the number of complaints would reduce. The number of complaints related specifically to domestic waste non-collections has halved from 385 in 2015/2016 to 200 in 2016/2017.

The number of complaints is considered to be extremely low when the volume of waste service delivery is taken into account. With approximately 157,000 address points currently serviced citywide, over 470,000 waste collections are carried out weekly - which is equivalent to over 24 million a year. Additionally Waste Management also provides education to residents, bulky waste collection services and delivery/repair services across the City, as well as access to three Household Waste Recycling Centres during the 2016/17 period.

98% of all complaints made were responded to within 20 working days or less. The service area also received 137 compliments during the 2016/17 period which is pleasing to report.

Complaints and trends are robustly monitored by officers through close liaison with Connect to Cardiff and regular updates from the Service Complaints Manager. Complaints and compliments are also discussed with managers and union representatives at monthly meetings and are displayed on display screen monitors at Lamby Way.

A traffic light system is operated by the Business Support team at Lamby Way to ensure that complaints are responded to within the appropriate response timescales.

**Arts and Theatres** contains two of the city's biggest arts venues, St Davids



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## Cardiff Council Annual Complaints Report 2016-17

Hall and the New Theatre. Complaints for Arts and Theatres have decreased from 296 in 2015/16 to **286** in 2016/17.

Service Area	2015/16	2016/17
<b>Arts and Theatres</b>	<b>296</b>	<b>286</b>
Number / Percentage of acknowledgments sent within 5 working days	296 (100%)	<b>286 (100%)</b>
Number / Percentage of responses sent within 20 working days	296 (100%)	<b>286 (100%)</b>
Complaints about staff	8 (2.7%)	<b>15 (5.2%)</b>
Delay in service	0 (0%)	<b>6 (2.1%)</b>
Dissatisfaction with policy	17 (5.7%)	<b>25 (8.7%)</b>
Other	249 (84.1%)	<b>219 (76.6%)</b>
Poor quality of service	22 (7.4%)	<b>21 (7.3%)</b>

A large variety of shows take place within Arts and Theatres and it is important to note that the majority of complaints for this service area can be classified as 'customer preference' rather than service failure. For example, the department receives complaints about shows not being to the customer's personal taste, the quality of plays and the audience etc.

### Learning from Complaints

Though the majority of complaints do not relate to service failure, there are some complaints that enable us to implement changes as a result of feedback from our customers. Here are some examples of service improvements we made last year:

**Ticket Service Charge** - Following feedback from the audiences of both Saint David's Hall and New Theatre relating to "extra" charges, specifically the Ticket Service Charge the decision was taken to phase it out and the process is now nearing completion. The income stream is restructured and retained. For customers, whose primary concern was the addition of charges on top of the ticket price, all new shows are on a "the price you see is the price you pay" basis.

**Hearing Enhancement Provision** - Both venues received complaints regarding the audibility of some unamplified shows. Responses were sent giving details about the Sennheiser hearing enhancement system fitted in both buildings, its use and how to access it. Some customers, especially those with certain digital hearing aids, were still having difficulty and since other services e.g. the audio description of shows also rely on this equipment a new system has been fitted in addition to the existing. Both venues can now offer a greater range of hearing enhancement and audio description facilities.





# Cardiff Council Annual Complaints Report 2016-17

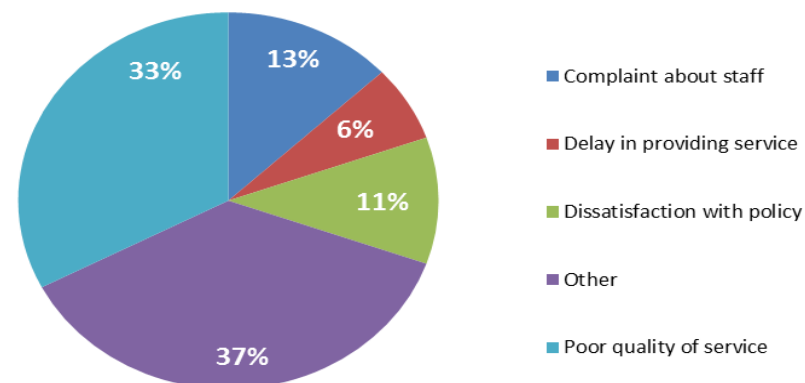
## Economic Development

Service Area	2015/16	2016/17
<b>Economic Development</b>	<b>37</b>	<b>46</b>
Number / Percentage of acknowledgments sent within 5 working days	37 (100%)	<b>46 (100%)</b>
Number / Percentage of responses sent within 20 working days	37 (100%)	<b>46 (100%)</b>
Complaints about staff	9 (24.3%)	<b>6 (13.0%)</b>
Delay in service	4 (10.8%)	<b>3 (6.5%)</b>
Dissatisfaction with policy	0 (0%)	<b>5 (10.9%)</b>
Other	7 (18.9%)	<b>17 (37.0%)</b>
Poor quality of service	17 (45.9%)	<b>15 (32.6%)</b>

For the remainder of Economic Development, there were **46** complaints received which is a slight increase on the 37 recorded during 2015/16. The complaints comprised of 11 for City Centre Management, 3 for Strategic Estates, 27 for Venues and Tourism (this includes Cardiff Castle, the Events team, Cardiff Caravan Park and the Norwegian Church) and 5 for Major Projects.

Of the complaints under other, Fanzone in Cardiff Arms Park (3), road closures (4), health and safety (2), Christmas tree outside Cardiff Castle (8).

### Categories of Complaints for Economic Development



### Learning from Complaints

**Staff training** – A complainant was attending a wedding at City Hall and was trying to park in the reserved spaces, the receptionist on the intercom was rude and unhelpful. The Events Manager apologised and informed the complainant that training and coaching had been arranged for staff to ensure that it did not happen again.

**CCTV** – A complaint was made with regards to the security and poor quality of CCTV at Cardiff Caravan Park. The head warden reassured the complainant that improvements were already being implemented with the replacement of a new CCTV camera and that he would investigate upgrading the recording equipment.

## Education & Lifelong Learning



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## Cardiff Council Annual Complaints Report 2016-17

The Education and Lifelong Learning Directorate received **34** formal complaints in 2016/17.

Service Area	2015/16	2016/17
<b>Education</b>	54	<b>34</b>
Number / Percentage of acknowledgments sent within 5 working days	45 (83.3%)	<b>19 (55.9%)</b>
Number / Percentage of responses sent within 20 working days	24 (44.4%)	<b>18 (52.9%)</b>

The **Education and Lifelong Learning** Directorate received **34** complaints in 2016/17, a clear decrease from the number of complaints the Directorate received in 2015/16 (54). From the 34 complaints received, 19 of the complaints were acknowledged within five working days. The Directorate responded to 53% of the complaints received within 20 days of receipt.

Unfortunately, the number of complaints responded to within 20 working days has increased from the previous year. Some complaints have involved the Directorate having to commission an Independent Investigator to undertake and oversee the complaint process. This process has had an impact on the Council meeting its complaint timescales. Where this occurs,

the Directorate will send an interim reply explaining the reasons for delay and when the complainant can expect a response.

Typically the Directorate receives complaints relating to concerns for the statutory functions of; School Re-organisation, School Admissions and Statements of Special Educational Needs.

It is important to note that under Section 29(1) of the Education Act 2002, governing bodies of all maintained schools are required to establish procedures for dealing with complaints relating to the school or to the provision of facilities or services. The Local Authority does not have a role in investigating or resolving complaints about schools. The Welsh Government has issued guidance to support schools in dealing with complaints entitled Complaints Procedures for School Governing Bodies in Wales (Welsh Government circular no 011/2012). Within the guidance, it is the responsibility of the Local Authority to satisfy itself that all schools it maintains have adequate complaints procedures in place and that these are published. A governing body complaints procedure may, with the agreement of the local authority, include a stage for the local authority to consider the complaint. However the statutory responsibility for dealing with a complaint remains with the governing body.



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# Cardiff Council Annual Complaints Report 2016-17

## Statutory Complaints – Social Services

It is a statutory requirement under the following items of legislation for Local Authorities to have in place a Representations and Complaints Procedure for Social Services.

- Representation Procedure (Children) (Wales) Regulations 2014
- Social Services Complaint's Procedure (Wales) Regulations 2014

This is in line with the Model Concerns and Complaints Policy and Guidance and the NHS Complaints procedure Putting Things Right.

The following provides information about the operation of the Social Services Representation and Complaints Procedure between 1<sup>st</sup> April 2016 and 31<sup>st</sup> March 2017. The report contains information about the number and type of complaints received and also provides details of the activities undertaken by the Complaints Unit during that period.

## Children's Services

Children's Services received 128 complaints during 2016/17, a 5% decrease on the 135 complaints received 2015/16. 9 complaints were received direct from children and young people (or an advocate) during the year compared with 20 in 2015/16.

There were 6 Stage 2 investigations initiated in 2016/17 compared with 9 in 2015/16. There were 6 referrals to the Public Services Ombudsman for

Wales, compared with 4 in 2015/16. The activity in relation to these has been as follows:

- Children's Services are finalising their response to recommendations received from the Ombudsman in relation to 1 complaint
- The Ombudsman liaised with Children's Services and determined that they would not be investigated 4 complaints
- The Ombudsman liaised with Children's Services to assess 1 complaint and it was agreed that a Stage 2 investigation would be undertaken

Stage 1 complaints are resolved effectively which means that only a small percentage of complaints – 8% proceeded to Stage 2 or the Public Services Ombudsman for Wales.

Children's Services received 31 compliments during 2016/17, a 30% decrease on the 44 received during 2015/16.

### Learning from Complaints

The Directorate commissioned an independent review of the current arrangements for managing complaints in order to support a coherent approach to the quality assurance across Social Services as a whole and ensure more effective learning from their outcomes. A number of recommendations identified key improvements across the Directorate and these will be implemented in 2017/18



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# Cardiff Council Annual Complaints Report 2016-17

## Adult Services

Adult Services received 67 complaints during 2016/17, an 11% decrease on the 75 complaints received during 2015/16.

There were 5 Stage 2 investigations in 2016/17 compared with 3 in 2015/16. There were no investigations by the Public Services Ombudsman for Wales compared with 2 in 2015/16. 1 referral to the Ombudsman was resolved via responding to a 'quick fix' request, rather than proceeding to investigation.

Stage 1 complaints are resolved effectively which means that only a small percentage of complaints – 7% (5) proceed to Stage 2 or the Public Services Ombudsman for Wales.

### Themes

From the complaints received during 2016/17, the following themes were identified in relation to children and adults:

- Staff not returning calls / responding to messages / poor communication

- Complaints are around quality of care, e.g. service delivery / missed calls
- Case management and review e.g. unhappy with service provided by Social Worker, delay in responding to service request and / or assessment outcome
- Other examples from Children's Services include:
- Financial matters, e.g. needing to repay overpayments of Housing Benefit
- Issues relating to contact between looked after children and their families
- Other examples from Adult Services include:
- Self-funding residents not being financially assessed in a timely way
- Unhappy with procurement systems that restrict access to particular providers

Adult Services received 17 compliments during 2016/17, a 240% increase on the 5 received during 2015/16



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# Cardiff Council Annual Complaints Report 2016-17

## Corporate Resources

### Finance

Service Area	2015/16	2016/17
<b>Finance</b>	<b>109</b>	<b>115</b>
Number / Percentage of acknowledgments sent within 5 working days	90 (82.6%)	<b>114 (99.1%)</b>
Number / Percentage of responses sent within 20 working days	68 (62.4%)	<b>52 (45.2%)</b>
Complaints about staff	18 (16.5%)	<b>22 (19.1%)</b>
Delay in providing service	7 (6.4%)	<b>3 (2.6%)</b>
Dissatisfaction with policy	10 (9.3%)	<b>11 (9.6%)</b>
Other	6 (5.5%)	<b>4 (3.5%)</b>
Poor quality of service	68 (62.4%)	<b>75 (65.2%)</b>

There has been a small increase in the total number of complaints received by **Finance** from **109** in 2015/16 to **115** in 2016/17. The percentage of complaints considered justified was just 15.6%. Upheld complaints are further considered by the relevant manager to determine any action that can be taken to minimise similar complaints in future. As in previous years, the majority of complaints received related to the collection of unpaid Council Tax charges and queries over liability and exemptions.

The Directorate is continuing to take a robust stance in pursuing Council Tax debtors and takes appropriate legal action to obtain Liability Orders and seek prompt payment. As part of this process, the Council continues to use external bailiffs to complement the work of the in-house team. This does lead to some complaints about the recovery action taken. However, in most instances these complaints were considered unjustified when they were investigated, as the complainants were in arrears and were objecting to being pursued over the unpaid bills.

The collection of as much Council Tax income as possible is particularly important in the current economic climate and it should be noted that the approach outlined has resulted in an increase in the percentage of Council Tax collected to 97.52% in 2016/17. This is the highest percentage collected since Council Tax was introduced.

#### Learning from Complaints

Records are kept of the nature of complaints and the outcomes so that Resources can ensure that any identified gaps in training or procedures are addressed and remedial action taken and documented to prevent further occurrences. As a result of one complaint, a training note was issued to reaffirm to staff when an inspection for an empty property is necessary and when it is not.



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## Cardiff Council Annual Complaints Report 2016-17

There were **0** complaints about **HR People Services** in 2016/17 which is a positive result considering the challenges facing HR and the Council.

HR People Services continues to review its processes on a regular basis, which is based on comments from complaints, customer feedback and our own staff. With reduced resources, HR will develop ways for managers to access HR information via updated Intranet pages and FAQs, together with streamlining processes to enable quicker processing and better accuracy. With the challenges facing HR and the Council we will continually monitor any complaints, feedback and compliments to improve service delivery.

**Communications & Media** are responsible for Corporate Communication, including the production and distribution of the Capital Times newspaper. There was just **1** complaint during 2016/17. Considering the level of coverage, this is a positive result.

There were 0 complaints for **Improvement & Information** in 2016/17. Complaints about the Freedom of Information process and Data Protection issues are not subject to our Complaints procedure or the Ombudsman.

There were 5 complaints for **Governance & Legal Services** in 2016/17 compared to 3 the previous year. Three of the complaints related to Electoral Services, 1 to a delayed response to a query and 1 for the overpayment of debt and the delay in receiving a refund from the council. There were no identifiable trends from the complaints.



**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET: 2 NOVEMBER 2017**

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**TREASURY MANAGEMENT MID-YEAR REPORT 2017-18**

**FINANCE, MODERNISATION AND PERFORMANCE (COUNCILLOR  
CHRIS WEAVER)**

**AGENDA ITEM: 4**

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**DIRECTOR OF CORPORATE RESOURCES**

*Annexes A & B to Appendix 1 to this report are not for publication as they contain exempt information of the description in Paragraphs 14 and 21 of Schedule 12A of the Local Government Act 1972.*

**Reason for this Report**

1. To inform members of the Council's treasury management activities since 1 April 2017 and the position as at 30 September 2017.

**Background**

2. The Council's treasury management activities are governed by legislation and a Code of Practice developed by the Chartered Institute of Public Finance and Accountancy (CIPFA) updated in 2011.

**Issues**

3. In the budget report of February 2010, Council adopted CIPFA's Treasury Management Code by formal acceptance of the Four Clauses of Treasury Management and Treasury Management Policy Statement as Council policy.
4. In accordance with these policies, this report provides members with a mid year update of Treasury Management activities as at 30 September 2017. Council requires the scrutiny of the accounting, audit and commercial issues of its Treasury Management Strategy and Practices to be undertaken by the Council's Audit Committee. Audit Committee have received a number of reports in relation to 2017/18 treasury Management activities including, performance reports, Treasury Management Practices and reports on the approach to new regulations such as the Markets in Financial Instruments Directive.
5. The mid-year report and supporting Annexes are attached as Appendix 1 and is to be referred to Council on the 30 November 2017 after consideration by the Cabinet.

## **Reasons for Recommendations**

6. Council policy requires the Treasury Management Mid-Year Report 2017-18 update to be submitted to Council.

## **Legal Implications**

7. No direct legal implications arise from this report.

## **Financial Implications**

8. The Council's treasury management activities are undertaken in accordance with the policies adopted by Council and under professional codes of conduct established by CIPFA, the Welsh Government and the Corporate Director Resources as part of Treasury Management Practices. This report is part of a suite of reports that members receive on the Council's treasury management activities during the course of a year. Whilst there are no direct financial implications arising from this report, the risks involved with treasury management are continuously reviewed in conjunction with the Council's treasury management advisors.

## **RECOMMENDATION**

That Cabinet note the report and agree that Council be recommended to note the Treasury Management Mid Year Report 2017-18 (Appendix 1)

## **CHRISTINE SALTER**

Corporate Director Resources  
27 October 2017

*The following Appendix is attached:-*

- Appendix 1: Treasury Management Mid Year Report 2017-18
- Annexe A – Investments at 30 September 2017 (confidential)
  - Annexe B – Investment Charts at 30 September 2017 (confidential)
  - Annexe C – Maturity Analysis of borrowing as at 30 September 2017
  - Annexe D – Glossary of Treasury Management terms



## Appendix 1

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# Treasury Management Mid-Year Report 2017-18

› Cardiff Council



## **Introduction**

- 1.1 Treasury management activities are the management of an organisation's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
- 1.2 The Council carries out its treasury management activities in accordance with a code developed for public services in 2011 by the Chartered Institute of Public Finance and Accountancy (CIPFA) as well as Council approved policies and clauses adopted by Council in February 2010.
- 1.3 In accordance with these policies, this report provides members with a mid-year update of Treasury Management activities as at 30 September 2017 and covers:-
  - the economic background to treasury activities
  - investments
  - borrowing
  - debt rescheduling
  - compliance with treasury limits and prudential indicators
  - strategy update for remainder of year.
- 1.4 Annexe D includes a glossary which defines key terms used in this report. During 2017/18, Audit Committee has received periodic updates on the position and performance of Treasury Management and the issues included in the report below. In addition Council received in September 2017 the Annual Report on the Outturn for Treasury Management for 2016/17.

## **Economic Background**

- 2.1 Economic growth in the UK economy has been weak over the last two quarters, primarily as a result of increases in inflation. The devaluation of sterling following the referendum is feeding into the cost of imports into the UK, which then has an adverse impact on consumer spending power resulting in reduced expenditure.
- 2.2 Despite weak growth, the Bank of England Monetary Policy Committee meeting of September 2017 surprised financial markets by adopting a more aggressive tone and warning that Bank Rate will need to rise. This was primarily after consideration of higher inflation forecasts, low unemployment and weak productivity.
- 2.3 Market expectations immediately changed towards a bank rate increase in the early part of 2018 or sooner, reversing the emergency bank rate cut of 0.25% introduced in August 2016. However there still remains

much uncertainty such as growth forecasts, UK negotiations with the EU, and consumer confidence.

- 2.4 With this in mind, the table below shows the Council's treasury management advisors August forecast for bank rate and Public Works Loan Board (PWLB) borrowing rates. Until more definitive data highlighting an increase is available, their forecast continues to show an increase in the second quarter of 2019, with a further review of the forecast to be undertaken in November.

	Sep-17	Mar-18	Mar-19	Mar-20
Bank Rate	0.25%	0.25%	0.25%	0.75%
5yr PWLB rate	1.59%	1.60%	1.80%	2.00%
10yr PWLB rate	2.18%	2.30%	2.50%	2.70%
25yr PWLB rate	2.79%	2.90%	3.10%	3.30%
50yr PWLB rate	2.52%	2.70%	2.90%	3.10%

- 2.5 It can be seen from the table that the cost of borrowing is significantly in excess of the rates that are available from investments. PWLB rates are based on gilt yields which have in recent years seen significant reductions due to economic uncertainty, a bond buying programme by the bank of England and demand for safe haven assets. Whilst geo-political events can have short term impacts on rates, the overall long term forecast is for PWLB rates to rise. Increases in borrowing rates will impact on the costs of new borrowing to be undertaken. There will be no impact on existing borrowing as this is at fixed rates of interest.

## **Investment**

- 3.1 The management of the Council's cash flows may involve temporary lending of surplus funds to low risk counterparties or temporary borrowing pending receipt of income.
- 3.2 The Council's investment priorities remain the security and then liquidity of its investments. The Council also aims to achieve the optimum return on its investments appropriate to these priorities.
- 3.3 The Council invests with financial institutions in accordance with criteria approved in the Treasury Strategy. The categories, names, periods and size limits on this list can be extended, varied or restricted at any time by the Corporate Director Resources under delegated powers. Based primarily on Fitch credit criteria and a number of other factors which the Council takes into account, lending to these institutions is subject to time and size limits and credit worthiness continues to be carefully monitored. There have been no changes made to the list of eligible counterparties included as part of the 2017/18 Treasury Management Strategy.

- 3.4 As well as the historically low bank rate, the Government's Funding for Lending Scheme has also had the impact of reducing returns on investments.
- 3.5 At the 30 September 2017, investments stood at £72.6 million. These temporary funds fluctuate daily and arise for a number of reasons, including the timing differences between the receipt of grant and other income and the utilisation of these funds on salaries and other operating costs. It includes the level of reserves, provisions, and other balances. It is also affected by the timing of borrowing and capital expenditure transactions. **Annexe A** shows with whom these investments were held as at 30 September 2017. All investments are deemed recoverable.
- 3.6 A selection of performance indicators and benchmarking charts, is included in **Annexe B** as follows:-
- **Counterparty exposure** displays actual investment against the maximum permitted directly with an organisation. This demonstrates that we are not exceeding any exposure limits.
  - **Remaining maturity profile of investments**. This shows the duration of investments is spread and taking advantage of slightly higher rates for longer term investment where reasonable to do so.
  - **Investments by institution**. This expresses the investments held with different institutions as a percentage of the total and shows diversification is sought where possible.
  - **Geographic spread of investments** as determined by the country of origin of relevant organisations. All countries are rated AA and above as per our approved criteria and are licensed to take UK deposits. Investments are in Sterling only.
  - **Investments by Financial Sector**. The majority of investments continue to be with banks.
- 3.7 Whilst a difficult figure to forecast due to the uncertainty of the markets, cash flows and the number of variables that impact on the figure, the forecast level of interest receivable from treasury investments for 2017/18 is £360,000. The return achieved since the start of the year is 0.41% compared to the benchmark 7 day London Interbank Bid Rate (LIBID) of 0.11% and 3 month LIBID 0.18%
- 3.8 The Council currently uses the Debt Management and Deposit Facility (DMADF) as a last resort if no alternative investment opportunities are available. The maximum rates available from the facility are 0.10%.

## **Borrowing**

- 4.1 Long term borrowing is undertaken to finance the Council's Capital Programme and the main sources of borrowing currently are the PWLB and the Money Markets. The Council does not separate General Fund and Housing Revenue Account borrowing as all borrowing is the liability of the Council.

- 4.2 Where capital expenditure has been incurred without a resource to pay for it immediately e.g. via capital receipts, grants or other contributions, this will increase what is termed the Council's Capital Financing Requirement (CFR) or its need to undertake borrowing. The Council is required to make an annual prudent provision for the repayment of historic capital expenditure from its revenue budget. This reduces the CFR. Calculation of the CFR is summarised in the following table.

	Opening Capital Financing Requirement (CFR)
+	Capital expenditure incurred in year
-	Grants, contributions, reserves and receipts received to pay for capital expenditure
-	Prudent Minimum Revenue Provision & Voluntary Repayment
=	Closing Capital Financing Requirement (CFR)

- 4.3 The level of CFR is dependent on a range of factors including progress in implementing the Capital Programme during the year so estimates can change.
- 4.4 At 30 September 2017, the Council had £672.1 million of external borrowing predominantly made up of fixed interest rate borrowing from the PWLB payable on maturity.

31-Mar-17			30-Sep-17	
£m	Rate (%)		£m	Rate (%)
617.2		Public Works Loan Board (PWLB)	613.8	
51.0		Market	51.0	
3.0		Welsh Government	4.5	
2.8		Other	2.8	
<b>674.0</b>	<b>4.74</b>	<b>Total External Debt</b>	<b>672.1</b>	<b>4.72</b>

#### New borrowing undertaken during the year to date

- 4.5 Loans of £1.5 million from Welsh Government and £0.11 million from Salix have been received for project specific schemes and are at 0%. A further £2.6 million is committed from Salix for a scheme to implement LED lanterns on principal roads in the city.

#### Maturing Loans in year to date

- 4.6 Annexe C shows the maturity profile of the Council's borrowing as at 30 September 2017. Loans of £3.5 million have been repaid in the first half of this year, with a further £2.6 million due to be repaid by 31 March 2018. Unless the Council's Lender Option Borrower Option loans

(LOBO's) are required to be repaid early, very little debt matures within the next 10 years.

- 4.7 (LOBO) products are loans to the Council where the lender can request a change in the rate of interest payable by the Council on pre-determined dates. The Council at this point has the option to repay the loan.
- 4.8 The Council has 6 such loan totalling £51 million. Apart from the option to increase rates, these loans are comparable to PWLB and have no other complications such as variation in interest rates or complex terms.
- 4.9 Interest rates on the Council's loans range between 3.81% and 4.35% which are not unreasonable and are below the Council's average rate of interest payable. Details of the loans are shown in the table below.

£m	Potential Repayment Date	Option Frequency	Full Term Maturity
6	21/11/2017	6 months	21/11/2041
6	21/11/2017	6 months	21/11/2041
6	21/11/2017	6 months	23/05/2067
6	01/09/2017	6 months	23/05/2067
5	15/01/2018	5 years	17/01/2078
22	21/11/2020	5 years	23/11/2065

- 4.10 LOBO's to the value of £24 million are subject to the lender potentially requesting a change in the rate of interest payable every six months, which could trigger early repayment. This is deemed unlikely and any risk is a manageable refinancing risk as LOBO's form a relatively low proportion of the Council's overall borrowing at 7.6%.

#### Borrowing Strategy

- 4.11 The borrowing strategy outlined in the February 2017 budget report indicated that:-

*Whilst investment rates remain lower than long term borrowing rates internal borrowing will be used to minimise short-term costs where possible*

*The forecast level of internal borrowing at 31 March 2018 in relation to the CFR is deemed manageable. However, based on the current forecasts of future capital expenditure plans and high level analysis of the sustainability of internal borrowing from the Council's balance sheet position for future years, external borrowing will be required to be undertaken in the medium term.*

- 4.12 As shown in the interest rate forecasts above, long term borrowing rates are significantly higher than investment rates which means that the cost of undertaking new borrowing would have a negative impact on the revenue budget. External borrowing may be deferred in order to minimise short term costs by using temporary cash balances to pay for capital expenditure rather than placing in an investment. This is termed 'internal borrowing'. However deferring borrowing is only a short term measure and could expose the Council to higher borrowing rates and costs in the future. The Council has taken an approach of undertaking external borrowing for an element of any borrowing requirement to mitigate any such risk.
- 4.13 If no further PWLB or Market borrowing is undertaken, the value of external loans at 31 March 2018 will be £672 million. At the same point, the Council's need to borrow for capital expenditure purposes, its Capital Financing Requirement (CFR), is currently forecast to be circa £756 million (General Fund £484 million and HRA £273 million). Without any further borrowing this financial year internal borrowing would be £85 million. In order to ensure this is manageable, it is currently anticipated that borrowing of £20 million will be undertaken in the last quarter of 2017/18.
- 4.14 The estimated total interest payable on borrowing for 2017/18 is £31.9 million which includes interest payable by the Housing Revenue Account.

### **Debt Rescheduling**

- 5.1 No debt rescheduling or early repayment of debt has been undertaken to date in 2017/18. The main obstacle remains the level of premium (penalty) that would be chargeable on early repayment by the PWLB. Of the existing PWLB loans of £614 million, £403 million are eligible for early repayment. However this would incur a premium of £348 million as at 30 September 2017. This premium is payable primarily because:-
- Interest rates on loans of equivalent maturities compared to those held are currently lower
  - A penalty rate or lower early repayment rate was introduced by HM Treasury in November 2007, which increased the cost of premiums and reduced flexibility of Local Authorities to make savings. This remains an obstacle in the ability of local authorities to manage debt more effectively.
- 5.2 Whilst the cost of Premiums can be spread over future years, options for restructuring that have been considered result in an adverse Net Present Value (NPV). Whilst there may have been short terms savings, these were outweighed by potentially longer term costs and not deemed cost effective.



## **Compliance with treasury limits and prudential indicators**

- 6.1 During the financial year to date, the Council has operated within the treasury limits and prudential indicators set out in the annual Treasury Management Strategy in February 2017.
- 6.2 Following Housing Finance Reform the Council complies with an indebtedness cap in the Housing Revenue Account of £316.5 million. This will need to be monitored closely as part of the Treasury Strategy and HRA Business Planning process.

## **Strategy update for the remainder of 2017/18**

- 7.1 The Markets in Financial Instruments Directive (MiFID) is EU legislation that regulates firms who provide financial instrument services to clients. MiFID was applied in the UK from November 2007, but is now being revised with changes to take effect from 3 January 2018, with the new legislation being known as MiFID II.
- 7.2 The aim is to ensure financial institutions undertake more extensive checks on their client's suitability for investment products. Organisations undertaking investments will be either classified as 'retail' or 'professional'.
- 7.3 MiFID II requires all Local Authorities to be initially treated as "retail clients" unless they "opt up" to a "professional client". The assumption being that retail clients require a greater level of due diligence and support for investment decision making. Financial institutions will owe a greater duty of care to retail clients, however, they will have no greater financial protection than professional clients.
- 7.4 In order to continue using Money Market Funds or to have access to Certificates of Deposit or other products which are included in the Treasury Management Strategy the Council will request to be classified as a professional client.
- 7.5 In addition to the above changes, the Chartered Institute of Public Finance and Accountancy, (CIPFA), is currently conducting an exercise to consult local authorities on revising the Treasury Management Code, and the Prudential Code. A particular focus of this exercise is how to deal with local authority investments which are not treasury type investments e.g. investments in property, loans to subsidiaries etc. Potential changes, timing of their implementation and the likely impact on the Council will be monitored and reported as part of the 2018/19 budget report and Treasury Management Strategy.



## **Annexes**

Annexe A – Investments at 30 September 2017

Annexe B – Investment Charts at 30 September 2017

Annexe C – Maturity Analysis of Borrowing as at 30 September 2017

Annexe D – Glossary of Treasury Management terms

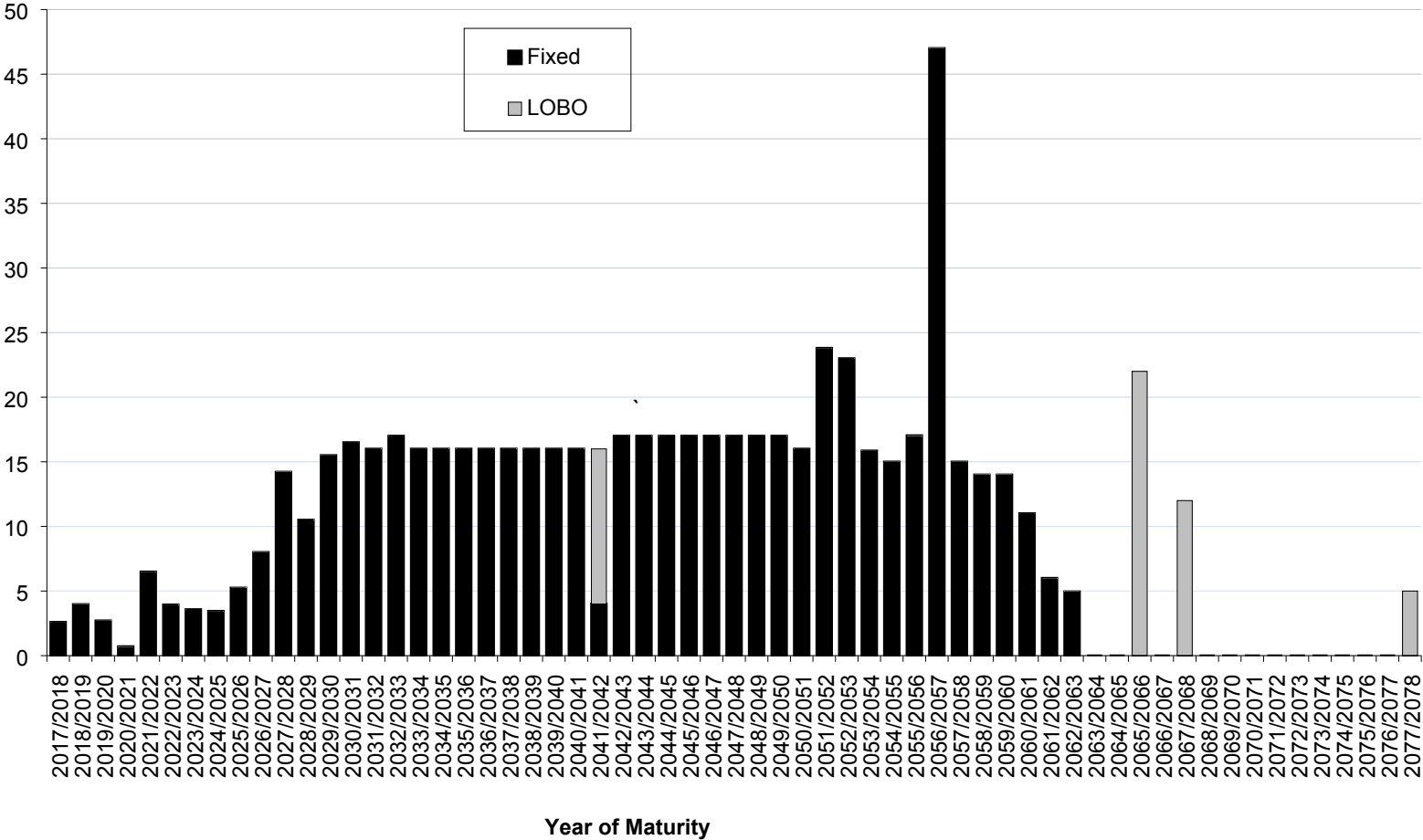
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By virtue of paragraph(s) 14, 21 of Part(s) 4 and 5 of Schedule 12A of the Local Government Act 1972.

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Maturity Profile of Debt at 30 September 2017



### **Glossary of Terms - Treasury**

#### **Bank Rate**

The rate of interest set by the Bank of England as a benchmark rate for British banks.

#### **Borrowing**

Loans taken out by the authority to pay for capital expenditure or for the prudent management of the Council's financial affairs, which are repayable with interest.

#### **Certificates of Deposits (CDs)**

A certificate issued for deposits made at a deposit-taking institution (generally a bank). The bank agrees to pay a fixed interest rate for the specified period of time, and repays the principal at maturity. CDs can be purchased directly from the banking institution or through a securities broker. An active interbank secondary market exists to buy and sell CDs.

#### **Chartered Institute of Public Finance & Accountancy (CIPFA)**

CIPFA is the professional body for people in public finance. As a specialised public services body, they provide information, guidance, and determine accounting standards and reporting standards to be followed by Local Government.

#### **Corporate Bonds**

Bonds that are issued by a company or other non-government issuers. They represent a form of corporate debt finance and are an alternative means of raising new capital other than equity finance or bank lending.

#### **Counterparty**

One of the parties involved in a financial transaction.

#### **Credit Criteria**

The parameters used as a starting point in considering with whom the council may place investments, aimed at ensuring the security of the sums invested.

#### **Credit Rating**

A credit rating assesses the credit worthiness of an individual, corporation, or even a country. Credit ratings are calculated from financial history and current assets and liabilities. Typically, a credit rating tells a lender or investor the probability of the subject being able to pay back a loan. Ratings usually consist of a long term, short term, viability and support indicators. The Fitch credit rating of F1 used by the Council is designated as "Highest Credit quality" and indicates the strongest capacity for timely payment of financial commitments.

#### **Debt Management Account Deposit Facility (DMADF)**

The Debt Management Office provides this service as part of its cash management operations and of a wider series of measures designed to improve local and central government's investment framework and cash management.

The key objective of the DMADF is to provide users with a flexible and secure facility to supplement their existing range of investment options while saving interest costs for central government.

### **Debt Restructuring**

Debt restructuring is a process that allows an organisation to reduce, renegotiate and undertake replacement debt.

### **Diversification of Investments**

The process of creating a portfolio of different types of financial instruments with regard to type, price, risk issuer, maturity, etc. in order to reduce the overall risk of the portfolio as a whole.

### **Duration (Maturity)**

The length of time between the issue of a security and the date on which it becomes payable.

### **External Borrowing**

Money borrowed from outside of the Council.

### **Fitch Credit Ratings**

A commercial organisation providing an opinion on the relative ability of an entity to meet financial commitments, such as interest, preferred dividends, repayment of principal, insurance claims or counterparty obligations. The opinion is usually provided in the form of a credit rating.

### **Fixed Rate**

An interest rate that does not change over the life of a loan or other form of credit.

### **Housing Revenue Account (HRA)**

The HRA is an account of expenditure and income that every local authority housing department must keep in accordance with the Local Government & Housing Act 1989. The account is kept separate or ring fenced from other Council activities. Income is primarily generated by the rents and service charges paid by tenants, while expenditure is on the management and maintenance of the housing stock, and capital financing charges on the HRA's outstanding loan debt.

### **Internal Borrowing**

Money borrowed from within the Council, sourced from temporary internal cash balances.

### **Investments**

The purchase of financial assets in order to receive income and/or make capital gain at a future time, however with the prime concern being security of the initial sum invested.

### **Lender Option Borrower Option Loans (LOBOs)**

Loans to the Council where the lender can request a change in the rate of interest payable by the Council at pre-defined dates and intervals. The Council at this point has the option to repay the loan.

### **Liquidity**

The ability of the Council to meet its financial obligations as they fall due.

### **Market Loans**

Borrowing that is sourced from the market i.e. organisations other than the Public Works Loan Board or a Public Body.

### **Minimum Revenue Provision**

This is the amount which must be charged to the authority's revenue account each year and set aside as provision for repaying external loans and meeting other credit liabilities. The prudent amount is determined in accordance with guidance issued by WG. This has the effect of reducing the Capital Financing Requirement (CFR).

### **Money Market Funds**

An investment fund which pools the investments of numerous depositors, spreading those investments over a number of different financial instruments and counterparties. Funds with a Constant Net Asset Value (CNAV) are those where any sum invested is likely to be the same on maturity. Funds with a Variable Net Asset Value (VNAV) are those where the sum on maturity could be higher or lower due to movements in the value of the underlying investments.

### **Net Asset Value**

The market value of an investment fund's portfolio of securities as measured by the price at which an investor will sell a fund's shares or units.

### **Prudential Code for Capital Finance**

The system introduced on 1 April 2004 by Part 1 of the Local Government Act 2003 which allows local authorities to borrow without Government consent, provided that they can afford to service the debt from their own resources and that any such borrowing is prudent and sustainable. This requires the preparation and approval of various indicators.

### **Public Works Loans Board (PWLb)**

The Public Works Loans Board is a statutory body operating within the United Kingdom Debt Management Office, an Executive Agency of HM Treasury. PWLB's function is to lend money from the National Loans Fund to local authorities and other prescribed bodies, and to collect the repayments.

### **Security**

Protecting investments from the risk of significant loss, either from a fall in value or from default of a counterparty.



### **Sovereign Credit Ratings**

The credit rating of a country. It indicates the risk level of the investing environment of a country, taking into account political risk and other factors.

### **Specified Investments**

A term defined in WG investment regulations, referring to any investments for less than one year, in sterling, and where the principal sum to be repaid at maturity is the same as the principal sum invested. An investment not meeting the above criteria would be termed a Non-specified investment

### **Sterling**

The monetary unit of the United Kingdom (the British pound).

### **Term Deposits**

A term deposit is a money deposit at a banking institution that cannot be withdrawn for a certain "term" or period of time.

### **UK Government Gilts**

Fixed-interest debt securities issued or secured by the British Government. Gilts are always denominated in sterling though the Government occasionally also issues instruments in other currencies in the Eurobond market or elsewhere.

### **Variable Rate**

An interest rate that changes periodically in line with market rates.

### **Yield**

The annual rate of return paid out on an investment in securities, expressed as a percentage of the current market price of the relevant securities.

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**CABINET MEETING: 2 NOVEMBER 2017**

**2018/19 BUDGET PROPOSALS – FOR CONSULTATION**

**FINANCE, MODERNISATION & PERFORMANCE (COUNCILLOR CHRIS WEAVER)**

**AGENDA ITEM: 5**

**CORPORATE DIRECTOR RESOURCES**

**Reason for this Report**

1. To provide an update to the Budget Reduction Requirement for 2018/19 including the reflection of the Provisional Local Government Settlement.
2. To provide details of the consultation to be undertaken prior to preparation of the Cabinet's final 2018/19 Budget Proposals for submission to Council for approval. The consultation document "Changes for Cardiff" is attached at Appendix 1 while the savings proposals upon which this consultation is based are attached at Appendix 2.

**Background**

3. Cabinet received a Budget Strategy Report in July 2017 in relation to the 2018/19 Budget. That report set out a potential budget reduction requirement of £23.5 million for the financial year 2018/19 and £73.5 million for the period 2018/19 – 2020/21. This position was a combination of financial pressures and an anticipated 1% annual reduction in the Council's Aggregate External Finance (AEF), which is the collective term for the Revenue Support Grant (RSG) and redistributed Non-Domestic Rates (NDR) that the Council receives from Welsh Government (WG.) This position is set out in the table below.

<b>MTFP at July 2017</b>	<b>2018/19 £000</b>	<b>2019/20 £000</b>	<b>2020/21 £000</b>	<b>Total £000</b>
Financial Pressures	19,259	21,504	20,035	<b>60,798</b>
AEF Reductions at 1%	4,282	4,237	4,195	<b>12,714</b>
<b>TOTAL BUDGET GAP</b>	<b>23,541</b>	<b>25,741</b>	<b>24,230</b>	<b>73,512</b>

## **Provisional Local Government Settlement**

4. The WG announced the Provisional Local Government Settlement on the 10 October 2017. For Cardiff, the settlement set out a cash increase in AEF of 0.2%, which equates to additional cash of £954,000. This increase included a new responsibility of £836,000 in relation to homelessness prevention. In terms of AEF per capita, Cardiff ranks 20<sup>th</sup> out of the 22 Welsh Authorities and with an AEF per capita of £1,193, is almost 11% below the Welsh average of £1,339.
5. Cardiff's 0.2% increase was the highest in Wales and compares to a Welsh average decrease of 0.5%. Across Wales, distribution varies from the six authorities that received a 1% reduction to Cardiff's 0.2% increase. In order to ensure that no Local Authority received a decrease of more than 1%, the aforementioned six authorities were the recipients of top-up funding totalling £1.8 million. This funding was additional to the settlement and was not redistributive in impact.
6. Six specific grants have transferred into general funding (or AEF). There are no adverse redistributive effects for Cardiff as a result of these transfers which are in respect of :-
  - The waste component of the Single Revenue Grant
  - Welsh Independent Living Grant
  - Social Care Workforce Grant
  - Looked After Children Grant
  - Carer's Respite Grant
  - Grant for Social Care for Prisoners in the Secure Estate
7. Usually the All Wales listing of specific grants for the forthcoming financial year is published alongside provisional settlement. At the time of writing, this information is unavailable and its impact on the 2018/19 Budget will need to be fully determined. Narrative included in the settlement suggests that some grants will be amalgamated, supported by outcome frameworks.
8. The provisional settlement also contained information in respect of capital funding. The position for Cardiff was an increase in General Capital Funding (GCF) of 0.66%, which equates to £90,000 in cash terms. For Cardiff, GCF for 2018/19 will be £13.621 million, which comprises £5.153 million cash grant and £8.468 million unsupported borrowing.
9. Final Local Government Settlement is due the week commencing 18 December 2017. This year, the UK Budget will take place in the autumn, on 22 November 2017. This change in timing increases the possibility of change between provisional and final settlement and the risk of further emerging financial pressures. As well as potentially affecting the Welsh Block Grant, the UK budget could make other announcements, for example, in relation to public sector pay. Any such announcements would increase financial pressures in the event they are not fully-funded.
10. With regards the medium term, the provisional settlement indicated that on average, AEF would decrease by 1.5% in 2019/20. The narrative

accompanying the settlement indicated that the 1.5% reduction is based on an assumption that the UK Government will proceed with £3.5 billion of cuts planned for 2019/20 that are as yet unallocated. The WG have indicated an intention to review the indicative 1.5% reduction if the UK Budget signals an intention not to proceed with these cuts.

11. In summary, the 0.2% funding increase for Cardiff announced by the provisional settlement is an improvement on previous planning assumptions. The impact of this improvement, along with other updates to the 2018/19 budget reduction requirement is summarised in the next section.

## Financial Overview

12. The budget reduction requirement is a dynamic figure and regular review is an important part of financial resilience. The Council undertakes systematic refresh of figures in line with a set timetable and reactive refresh occurs in response to new developments and emerging financial pressures. The outcome of the updates is that the budget reduction requirement for 2018/19 is currently estimated at £22.8 million (£73 million over the next 3 years) and this is the position upon which the budget consultation is based.
13. This current draft position will remain fluid and has the potential to fluctuate further prior to the presentation of Cabinet's final budget proposals in early 2018. Future updates will include reflection of the 2018/19 council tax base following its approval in December, as well as Cabinet's consideration of consultation responses. As already noted, the timing of the UK budget, which will be in the autumn this year, increases the potential for change between provisional and final settlement. Any such changes will also need to be taken into account as the budget process progresses.
14. Updates to the Budget Reduction Requirement since July 2017 are summarised in the table below and described in more detail in subsequent paragraphs.

Component of Budget Reduction Requirement		Change £000
<b>July Budget Reduction Requirement</b>		<b>23,541</b>
Financial Pressures	Pricing Updates (including Schools')	450
	Commitments and Realignments	3,538
	Financial Pressures	500
Funding	Provisional Settlement at +0.2%	(5,236)
<b>Net Change</b>		<b>(748)</b>
<b>Updated Budget Reduction Requirement</b>		<b>22,793</b>

15. The changes to the budget reduction requirement are set out in further detail below:-

- **Pricing Updates** – changes reflect updates to take into account most recent rates of inflation.
- **Commitments and Realignments** – changes include technical updates to reflect interest rates and internal borrowing, as well as a budgetary realignment for Children's Services which reflects the impact of increasing numbers of looked after children in the current financial year.
- **Additional Financial Pressures** - the Medium Term Financial Plan (MTFP) within the Budget Strategy Report included a provisional sum of £1.5 million in 2018/19 to cover emerging financial pressures. The budget position upon which this consultation is based increases this figure to £2 million. Further review and refinement of financial pressures will be undertaken over coming months.
- **Funding** – the recent publication of the Provisional Local Government Settlement has afforded greater clarity to the funding position for 2018/19. The £5.2 million favourable change indicated in the table above reflects the improvement from the Council's planning assumption of a 1% reduction to the 0.2% funding increase that was recently announced in the provisional settlement. The planning assumption of a 1% reduction was used in the absence of any indicative funding figures from WG, and was in line with warnings to expect further challenging settlements.

## Issues

16. Before 11 March 2018, Cabinet Members have a collective duty to place before the Council proposals, which, if approved, will result in the adoption of a balanced budget for 2018/19. In the current context, those proposals must include a strategy that delivers a Budget Reduction Requirement currently identified at £22.8 million. The strategy includes a combination of budget cuts, caps to schools' growth, increases in council tax and use of reserves.

## Financial Planning Assumptions

17. The July 2017 Budget Strategy Report set a number of planning assumptions as part of the solution to the budget reduction requirement. These were :-
  - A 3.7% Council Tax Increase
  - A 30% cap on schools' financial pressures (with the exception of pupil number growth)
  - £2.35 million use of Reserves
18. These planning assumptions remain in place at the start of this consultation period and Cabinet will consider them further in finalising work to recommend its 2018/19 final budget proposals to Council next year. The cap on schools' growth is retained at 30% although the quantum has marginally increased, due to updates to the financial pressures figure upon which it is based.

19. In respect of council tax increases, the previous planning assumption of 3.7% has been retained. This assumption reflects the 2017/18 council tax base and generates net additional income of £4.7 million, after taking into account the associated increase in the Council Tax Reduction Scheme budget. The council tax base for 2018/19 will be considered by Cabinet in December 2017. The associated change will need to be factored into the Budget Reduction Requirement at that stage, along with any consequential impacts on final settlement. The assumption will need to be kept under review as there is potential for further pressures to emerge as the year progresses, particularly as this year, the UK budget is due in late November.
20. Schools' pressures of £4.9 million have been identified in respect of 2018/19 and in line with the Budget Strategy Report, these have been capped by 30% or £1.5 million. In addition, pupil number growth is projected to result in increased costs of £2 million for 2018/19 and the Budget Strategy is predicated upon this sum being fully provided to schools. Effectively, under current budget strategy assumptions, Schools Budgets will receive £2 million pupil number growth and £3.4 million (capped) growth for 2018/19, a total of £5.4 million.
21. At 31 March 2017, the Council's General Reserve stood at £14.3 million and Earmarked Reserves (for General Fund Services) stood at £59.4 million. The use of reserves as general budget funding should be treated with caution for a number of reasons. Firstly, their finite nature means their use to fill a budget gap in one year creates an immediate hole in the finances of the following year. Secondly, earmarked reserves are an important part of the Council's financial resilience, especially in prolonged periods of financial challenge. Finally, earmarked reserves are set aside for a specific purpose that would be compromised if they were routinely used at significant levels for general budget funding.
22. The level of reserves in Welsh Local Government has been subject to much scrutiny over recent years. Whilst prudent, the level of reserves in Cardiff could be considered to be just at an adequate level for an authority of its size. In percentage terms, Cardiff has the lowest level of both general and useable earmarked reserves across Wales. The Budget Strategy assumption of a £2.35 million use of reserves strikes an appropriate balance between on the one hand, using available cash balances to support services and on the other, protecting the Authority's financial resilience and future financial position. Following review, a full listing of the Council's reserves will be included in the 2018/19 Budget Report.

## **Overall Position**

23. The budget reduction requirement of £22.793 million will be met from a combination of budget savings proposals and the planning assumptions detailed above. The 2018/19 Budget Report will contain Cabinet's final overall proposal in respect of the Budget, for Council approval. This will be informed by consultation with the Council's stakeholders. In finalising the proposal, all present planning assumptions will be reviewed to ensure that

they are still valid following the receipt of the final settlement and confirmation of the position on specific grants.

24. The next table summarises the 2018/19 Budget for Consultation. The detail behind the savings figures is contained in Appendix 2.

**2018/19 Budget Strategy as per consultation proposals**

	<b>£000</b>
Savings	14,296
Council Tax Increase 3.7%	4,686
Schools – non-pupil number growth capped by 30%	1,461
Use of Reserves	2,350
<b>Total Savings and Budget Strategy Assumptions</b>	<b>22,793</b>

25. The information set out in Appendix 2 represents the 2018/19 savings proposals for consultation and contains the following information:-

- The directorate proposing the savings e.g. City Operations, Social Services
- The theme of the saving
- The title of the saving and an explanation of the proposal
- The budget in relation to which the saving has been identified
- An indication of the nature of the saving - e.g. whether it would result in a reduction in employee costs, a reduction in other spend or an increase in income
- An initial risk analysis in respect of both the residual risk and the risk of the achievability of the saving
- An initial Equalities Impact Assessment in relation to the saving proposed
- The Cabinet Portfolio that the proposed saving falls within
- Identification of whether city-wide consultation will take place as part of the Changes for Cardiff consultation, whether service specific consultation is required or whether consultation has occurred previously

26. The consultation on the 2018/19 budget savings proposals will take the following forms:-

- **City-wide public consultation** on issues of general interest as set out in the “Changes for Cardiff” consultation document at Appendix 1.
- **Service specific consultation** with identified service users / group of organisations
- **General Council Consultation** – this relates to internal changes within the Council including back office efficiencies, staff changes, process improvements and broader changes around income generation and other service implications.
- **Prior Year** – proposals included in prior year consultations



27. Appendix 2 sets out the form of consultation for each proposal. This information is summarised below:-

<b>2018/19 Savings Proposed</b>	<b>£000</b>
Savings proposals included in the city-wide consultation	4,762
Savings proposals requiring service specific consultation / communication	1,312
Other general savings proposals	6,607
Savings proposals consulted in previous years	1,615
<b>Total 2018/19 Savings Proposed</b>	<b>14,296</b>

28. The Council's Corporate Plan 2017-2019 sets out its vision to be Europe's most liveable capital city, its co-operative values, and its four key priorities of better education and skills for all, supporting vulnerable people, an economy that benefits all our citizens and working together to transform services. In developing budget proposals, the Council is mindful of these priorities as well as of the need to set a budget that considers the impact on future generations in line with the Future Generations (Wales) Act.
29. The significant and prolonged period of financial challenge that the Council has faced over recent years makes difficult decisions inevitable. However, the draft budget upon which this consultation is based reflects the above priorities as far as possible in the current financial situation, with net investment in both Schools and Social Services. Whilst savings are inevitable, efforts are made to ensure that their impact on existing citizens and on future generations is minimised as far as possible, with reductions to front-line service delivery a last resort. Instead, wherever possible, savings are aimed at generating income, seeking to ensure value on external spend, looking for digital solutions, working with others, streamlining processes and implementing preventative measures. These general budget themes received support in the Ask Cardiff survey conducted earlier this year, as set out in the next section.

## **Consultation and Engagement**

30. The Council is committed to engaging with the citizens and communities of Cardiff regarding the difficult decisions required. Budgetary pressure is a key driver of the difficult choices facing the Council, therefore budget consultation is an important opportunity to understand what is important to our stakeholders and to encourage their involvement in shaping Council services. The Council has consulted upon the difficult decisions made in recent years' budgets with significant responses received to those consultations.
31. Consultation on the 2018/19 budget commenced earlier this year, through the inclusion of general budget themes within the Ask Cardiff survey. Over

76% of respondents recognised that the budget gap the Council is facing means that difficult choices are required. In addition:-

- Around three quarters (73.6%) of respondents agreed that the Council should continue to explore new ways of working with partners and other organisations to improve services and deliver efficiencies
- Around three quarters of respondents, (75.7%) would support the provision of community, commercial and public services from a shared space in order to achieve the most from our buildings.
- Three in five respondents (61.5%) supported investment in Information Technology (IT) to increase opportunities for self-service.
- More than half of respondents, (58%) supported increasing opportunities for self-service in the future.
- Two thirds of proposals agreed that the Council should undertake income generation activities

32. Building on the introductory themes within the Ask Cardiff Survey, the consultation in respect of 2018/19 budget proposals will launch on 2 November 2017. There will be an online document and hard copies will be available in hubs, libraries and leisure centres. The public will be able to meet officers face to face to discuss the proposals, participate in the survey and share their views via a series of local events. These will be partnership events providing information to communities on a range of subjects including the budget proposals, Draft Well-Being Plan, Local Area Plans, and volunteering opportunities. The consultation will run until Thursday 14 December 2017. Following this, the results of the consultation will be analysed and considered by Cabinet when finalising their 2018/19 Budget Proposals for consideration by Council. The consultation document is attached at Appendix 1.
33. Further opportunities for engagement, including with the Audit Committee and the Schools Budget Forum will also take place during the coming months. These opportunities for stakeholders to engage and provide comments will also help inform the budget process. In addition, the need to engage effectively with the Council's own staff, both directly and through their trade unions will remain a high priority throughout the budget setting process. Scrutiny Committee will undertake their own review of the consultation proposals early in 2018, prior to finalisation of the Cabinet's budget proposal.

### **Employee Consultation**

34. The scale of the financial challenge faced by the Council remains considerable. As almost half of the Council's gross expenditure is on employee costs, the continuing need to reduce costs will have an impact on employee budgets and the shape of the workforce. The Council will do all that it can to protect jobs in these financially challenging times.
35. A timetable for consultation and communication with trade unions and employees potentially impacted by the budget proposals is in place. During

this period of consultation, there will be arrangements made for employees to comment on the proposals which may affect them. Once decisions are made on the final budget by Council, employees impacted by those final decisions will be supported. At that point, eligible employees will be given the opportunity to take voluntary redundancy or to access the redeployment process which provides employees with a period of twelve weeks to look for alternative employment.

36. Through the Council's Trade Union Budget Consultation forum, trade unions have been consulted in advance of more public consultation on directorate budget proposals and the likely impact on employees, particularly where posts are at risk of redundancy. Under the general law relating to unfair dismissal, all proposals to make redundancies must involve reasonable consultation with the affected employees and their trade unions. It remains likely that there will be redundancies within the Council's workforce during the financial year commencing 1 April 2018 notwithstanding every effort being made to avoid them.
37. The budget proposals, in some areas, include proposals to reduce the number of employees. Where the number of employees likely to be made redundant exceeds certain thresholds the law specifically sets out a minimum length of time and minimum content for the consultation with the trade unions including ways of avoiding, reducing or mitigating the consequences of the numbers of employees being made redundant. As the Head of Paid Service, the Chief Executive is responsible for all staffing matters and has the authority to implement all necessary consultation in relation to proposed redundancies (statutory or otherwise), consider responses to consultation, and make staffing decisions flowing therefrom.
38. Whilst the exact number of proposed redundancies is not known at this stage, these are likely to be in excess of 20. This will mean that following Cabinet on 2 November 2017 and in accordance with the Trade Union and Labour Relations (Consolidation) Act 1992, a Section 188 Notice will be formally issued to the trade unions related to the budget and potential redundancies. The proposed redundancies and the issue of the Section 188 notice is related to the overall reduction in staff numbers required.
39. This will mean that from 2 November 2017, formal consultation with employees and trade unions will commence seeking views and comments about ways of avoiding, reducing and mitigating the consequences of the numbers of staff being made redundant e.g. by redeployment.

### **Reason for Recommendations**

40. To issue the 2018/19 Budget Savings Proposals for consultation. In addition, to note that the consultation will commence on 2 November 2017 and run until 14 December 2017.

### **Financial Implications**

41. The financial implications set out in the July Budget Strategy Report in respect of context, risk and affordability remain relevant to this report and

to the overall budget setting process. The Council must by statute, set a balanced budget and the Section 151 Officer will as part of the Budget Report comment upon the robustness of the budget process undertaken.

42. Cardiff's Budget Reduction Requirement for 2018/19 is currently calculated at £22.8 million. A public consultation of the savings proposals identified in respect of this gap will commence on the 2 November 2017. The responses in respect of all consultation and engagement will be reported back to Cabinet for consideration as part of the 2018/19 Budget Report. This builds on the general consultation on budget themes that was included within the Ask Cardiff survey earlier this year. The £14.3m savings inherent in the consultation position are grouped into themes, as summarised below and identified in further detail at Appendix 2.

<b>Theme of 2018/19 Savings Proposal</b>	<b>£000</b>
Income Generation	2,900
Collaboration	323
Business Processes including digitalisation	3,726
Review of external spend	4,546
Prevention and Early Intervention	2,801
<b>TOTAL</b>	<b>14,296</b>

43. The Council has experienced a prolonged period of real terms funding reductions combined with demographic pressure in demand led services. Savings of £105 million have been identified over the past three years with a further budget gap of circa £73 million to address over the next three years. In this challenging environment, it is critical that savings proposals are robust and that significant changes to business processes do not impact on the control environment in a negative manner. Due diligence work will continue in parallel to the budget consultation process and directorates will continue their detailed planning in respect of their proposals. The budget reduction requirement will need to be kept under review to reflect the UK budget in November and final settlement in December.

### **Legal Implications**

44. Specific legal obligations relating to the setting of the budget and consultation are set out within the body of this report.
45. The obligation to consult can arise in some cases from express statutory provisions and in other cases from common law. In all cases, the consultation must be undertaken in such a way as to be meaningful and genuine. The results of the consultation must feed into the process for consideration and finalisation of budget decisions.

46. The Council has public sector duties under the Equalities Act 2010 which require it, in exercising its functions, to have due regard to the need to (1) eliminate unlawful discrimination (2) advance equality of opportunity and (3) foster good relations between persons with and without protected characteristics. For example, protected characteristics include race, sex, gender, age, religion.
47. In order to be sure that the Council complies with its public sector equality duties it is essential that Equality Impact Assessments are undertaken where appropriate in relation to specific budget proposals, that these are informed by the results of the consultation, that any impacts are recorded, mitigation of the impact is considered, and any impact is taken into account in the decisionmaking on the budget.

### **HR Implications**

48. At this stage, there are no direct HR implications arising from this report. However subsequent decisions taken by Cabinet and Council related to these Budget proposals are likely to carry implications for employees. Whilst the Council will do all it can to protect jobs in these challenging times, the budgetary situation is such that it will become increasingly difficult to avoid redundancies. The detail of the proposals will need to be fully considered in terms of HR risks and plans put in place to mitigate these risks wherever possible. Continuing dialogue with Trade Unions and employees will be critical. The full range of employee support mechanisms will need to be made available to those ultimately impacted. A timetable for consultation and communication with Trade Unions and employees potentially impacted by the budget proposals is in place. Arrangements will be made for employees to comment on the proposals which may affect them. Once decisions are made on the final budget, those impacted by those final decisions will be supported. This will include Voluntary redundancy for those eligible or support for redeployment which provides employees with a period of twelve weeks to look for alternative employment.
49. The Trade Unions have been initially consulted on directorate budget proposals and the likely impact on employees. Under legislation, proposals to make redundancies must involve reasonable consultation with the affected employees and their trade unions. Whilst every effort will be made to reduce the number or avoid redundancies, it is likely that there will be some employee redundancies in the next financial year.
50. As the number of employees likely to be made redundant will exceed specified legal thresholds, there are specific Trade Union consultation requirements which the Council is required to meet including ideas about avoiding, reducing and mitigating the consequences of the numbers of staff being made redundant. Following Cabinet on 2<sup>nd</sup> November, a Section 188 Notice will be formally issued to the Trade Unions related to the budget and potential redundancies.

## **RECOMMENDATIONS**

The Cabinet is recommended to:

- (1) Agree that the budget savings proposals as attached at Appendix 2 are the Cabinet's Budget Savings Proposals for Consultation.
- (2) Note that the formal budget consultation will commence on the 2 November 2017 and run until 14 December 2017. The results of the consultation process will then be considered by Cabinet as part of preparing their final 2018/19 budget proposal.
- (3) Note that the Chief Executive as Head of Paid Service will be issuing all necessary statutory and non-statutory employment consultations in respect of the staffing implications of the proposals.

### **CHRISTINE SALTER**

#### **Corporate Director Resources**

27 October 2017

*The following appendices are attached:*


- Appendix 1 – “Changes for Cardiff” Consultation document
- Appendix 2 – Cabinet's 2018/19 Budget Savings Proposals for Consultation

*The following background papers have been taken into account:*

- Budget Strategy Report 2018/19 and the Medium Term – 27 July 2017
- Controllable Budgetary Analysis Sheets 2018/19
- Equality Impact Assessments (EIAs) of Cardiff Council's 2018/19 Budget Savings Proposals
- WG Provisional Financial Settlement

# CHANGES FOR CARDIFF

Consultation on  
Cardiff Council's  
**2018/19**  
Budget Proposals



Consultation opens: 2nd November 2017  
Consultation closes: 12 noon, 14th December 2017



@CardiffCouncil  
#cdfbudget



[www.cardiff.gov.uk/budget](http://www.cardiff.gov.uk/budget)  
[budget@cardiff.gov.uk](mailto:budget@cardiff.gov.uk)





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# INTRODUCTION FROM THE LEADER

Today, Cardiff is one of the fastest growing and most highly-skilled cities in Britain. The city's population and economy are growing, jobs and businesses are being created, and unemployment is at its lowest level this decade.

But, at the same time, too many people in Cardiff – many from working families – are struggling to meet their basic needs. We are committed to tackling poverty and inequality in our economy and our society. It not only places major pressures on public services but also casts a long shadow over too many lives.

The city's growth must be sustainable, which is why we are prioritising sustainable transport, maintaining the drive to increase recycling rates and taking bold steps to combat climate change. We will also ensure that we get the basics right in how we care for the vulnerable and elderly in our city. We want to deliver a cleaner, healthier and fairer city.

These challenges – of growth, inequality and sustainability – must be met with bold solutions and big ideas during a time of unprecedented and unrelenting austerity. The Council has already had to make savings of almost a quarter of a billion pounds over the past decade, and we know that we, and our partners across the public services, anticipate more years of austerity ahead.

In the face of these pressures, public services will need to continue to change and modernise, and in some cases, be reduced. The savings proposals we are putting forward seek to protect front line services as far as possible, and we are committed to working with you to help make sure we can continue to do this in the future. So please get involved and let us know what you think by responding to the questions contained in this consultation by noon on the 14<sup>th</sup> December 2017.

Thank you



A stylized, handwritten signature in dark ink that reads "Huw Thomas".

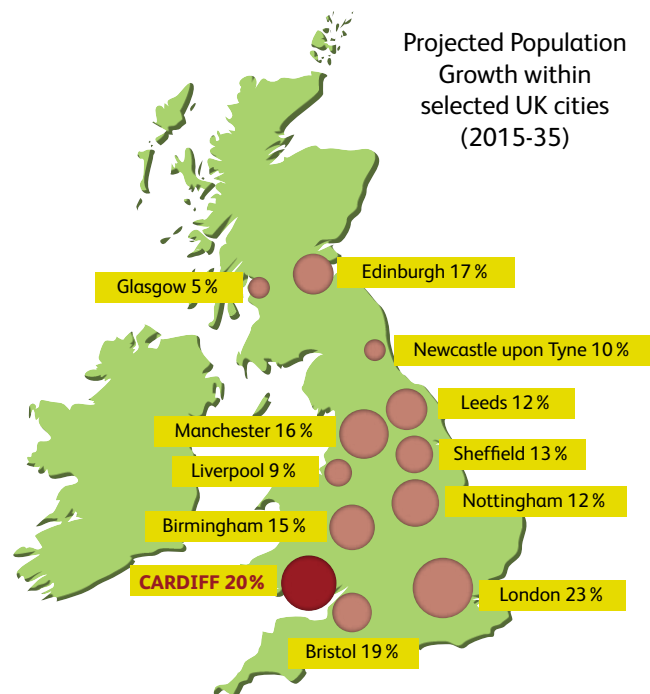
Cllr Huw Thomas  
Leader, Cardiff Council

## SECTION 2 - CHALLENGES : GROWTH, INEQUALITY AND AUSTERITY

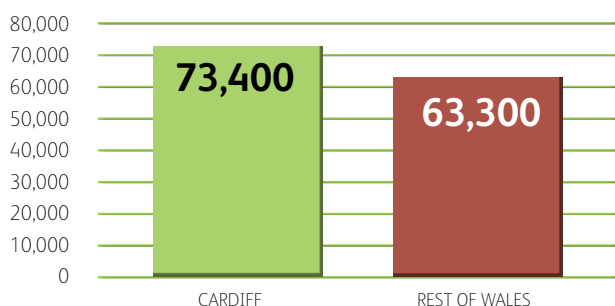
### GROWTH

Over the last decade Cardiff grew by over 11 %, or 37,700 people, and this growth is set to continue, with the Welsh capital projected to be the fastest growing major British city apart from London.

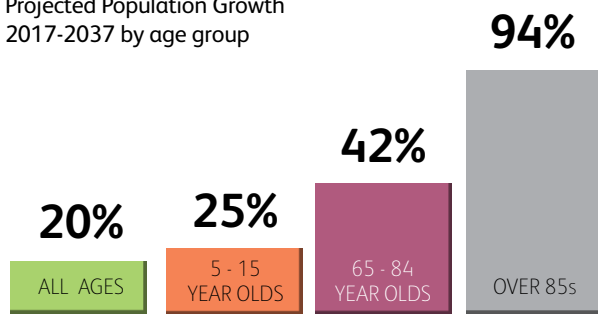
Cardiff is also by far the fastest growing local authority in Wales. Over the next 20 years the capital city is set to see a larger growth in population than the other 21 local authorities combined.



Projected Population Growth 2017-



Projected Population Growth 2017-2037 by age group



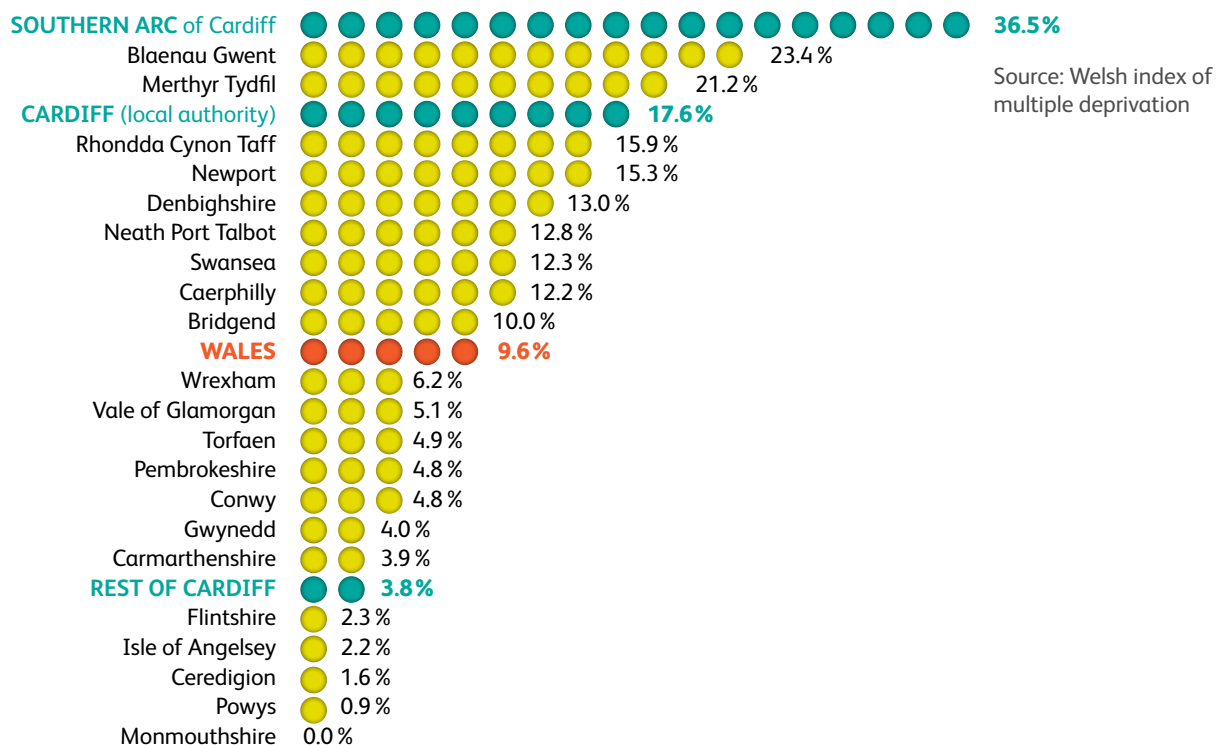
That so many people are choosing to live and work in Cardiff is good news, but it will strain our city's infrastructures and put new demands on our public services.

This is because the city's population growth will not be spread evenly across age groups. For example, the expected 25 % increase in school age children over the next 20 years will place greater pressure on our schools. Similarly older people – particularly those over 85 years old whose numbers are expected to double in the next 20 years – are more likely to need health and social care services to help them live independent lives.

## INEQUALITY

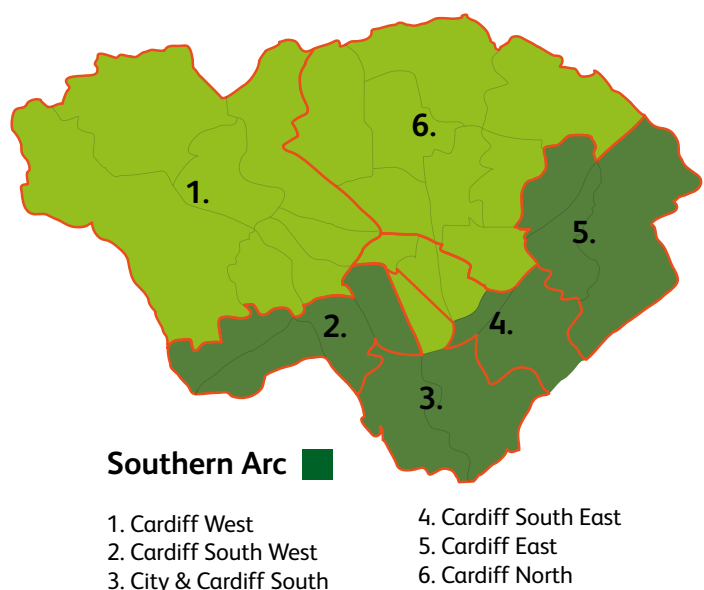
The gap between rich and poor in the city is too wide, and it is growing. For example, unemployment rates in Ely are nine times higher than those in Creigiau. Differences in health outcomes are even more pronounced, with a healthy life expectancy gap of 22 to 24 years between the richest and poorest communities and mortality from, for example, heart disease seven times higher in Riverside than it is in Thornhill.

Percentage of population in 10 % Most Deprived Areas of Wales



Indeed, if the **'Southern Arc'** of Cardiff, from Ely in the West to Trowbridge in the East was considered a single local authority, it would be far and away the poorest in Wales.

This poverty damages too many lives, it places pressure on public services and it breaks the bonds that help to create a strong society.





## AUSTERITY

At the same time as a rapid growth in demand, the city's public services are facing severe and ongoing financial pressures.

During the past 10 years the Council has made almost a quarter of a billion pounds in cumulative savings, and reduced the number of non-school staff by 22 %.

We are planning to have to meet a further budget gap of more than £73m over the next 3 years.



## SECTION 3 : CAPITAL AMBITION

In Capital Ambition the Council's Cabinet have set out their priorities for Cardiff:

- **Working for Cardiff:** Making sure that all our citizens can contribute to, and benefit from, the city's success
- **Working for Wales:** A successful Wales needs a successful capital city
- **Working for the Future:** Managing the city's growth in a sustainable way
- **Working for Public Services:** Making sure our public services are delivered efficiently, effectively and sustainably in the face of rising demand and reducing budgets.

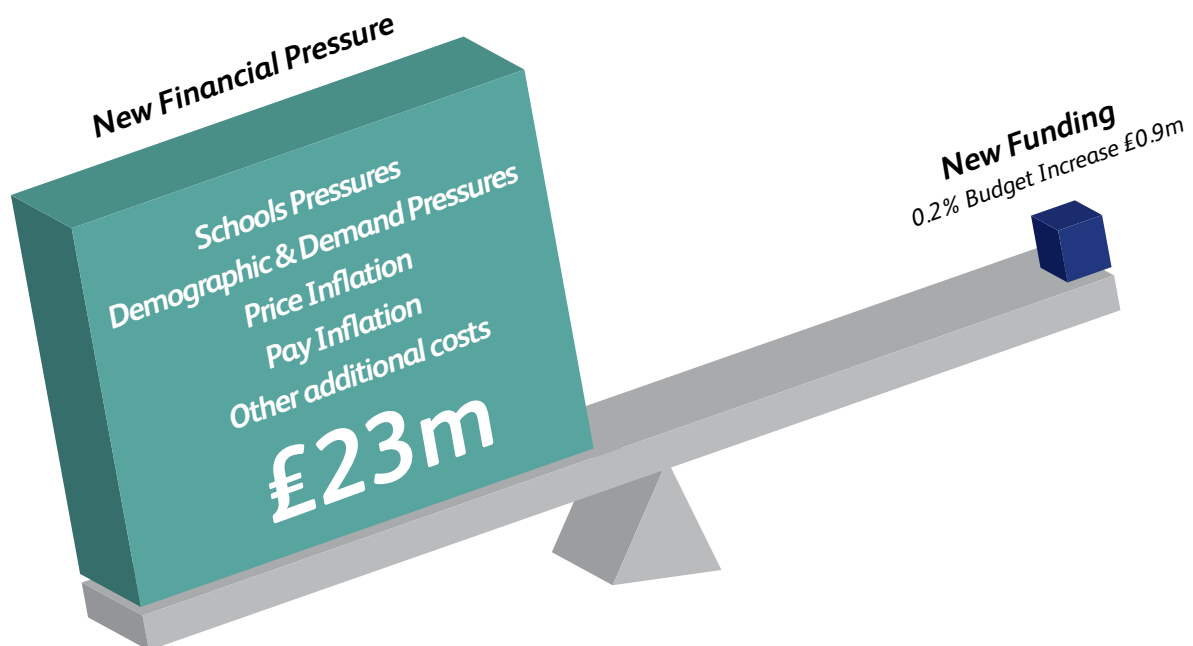
Capital Ambition makes clear that protecting the services that are most important to residents will mean challenging old ways of working and embracing change where it will deliver better services for the people of Cardiff. This will mean:

- **Getting the Basics Right:** Maintaining a relentless focus on the performance of key statutory services.
- **Digital First:** Making the best use of new technologies to deliver our services, and providing digital access indistinguishable from that available to citizens in every other aspect of their lives.
- **Putting Communities Front and Centre:** The administration will seek to align community services, make sure that developments and investments in local communities are well-planned and maximise the impact of public investment through a new approach to 'locality working', building on the success of the Community Hub programme.
- **Purposeful Partnerships:** We will build strong partnerships, at the local, city, regional and national level to deliver for Cardiff.
- **A New Deal with Citizens:** Keeping our streets clean, hitting our sustainable transport targets and looking after our most vulnerable people cannot be achieved by the Council alone. We need a new deal with citizens through which we can work together to tackle problems and realise our shared ambitions for Cardiff.

## SECTION 4: THE COUNCIL'S BUDGET

Cardiff Council's Budget for 2017/18 is £587m.

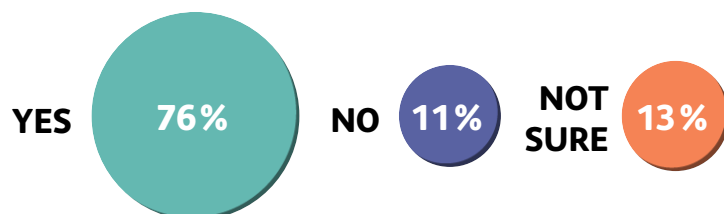
Even though Cardiff Council received an increase in funding from the Welsh Government of 0.2 % (or £954,000) for next year, the demand pressures facing the Council caused by population growth and inequality, allied to cost pressures like inflation, means that the amount of money we need to keep the current level of service has increased substantially.



**The Council must therefore close a budget gap of £23m in 2018/19 and £73m over the next 3 years.**

*More than three quarters of respondents told us that they recognise the need for difficult choices given the financial challenges facing the Council.*

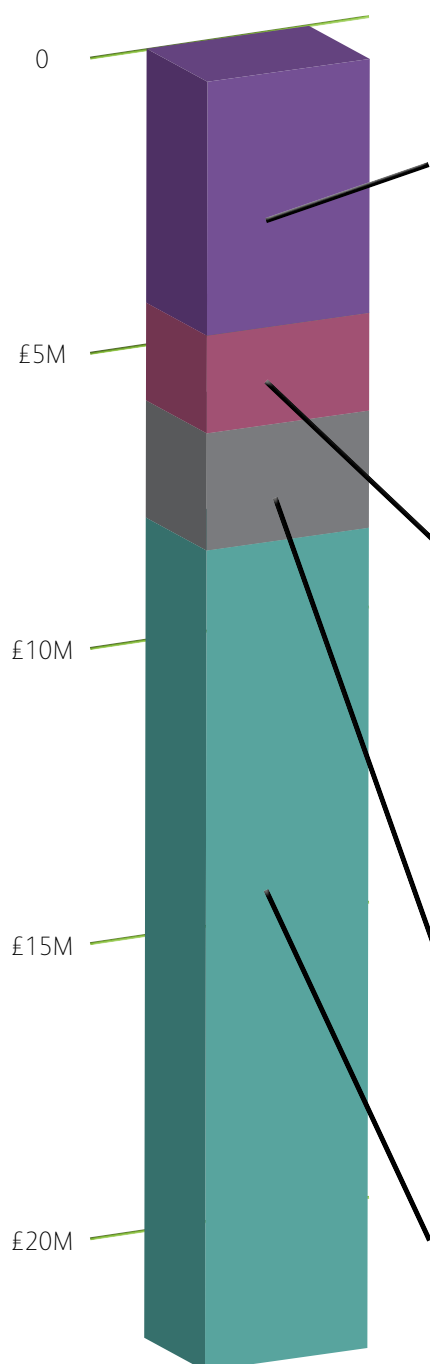
*Note: 82 % responded yes in previous year*





The budget gap of £23m will need to be met from a combination of budget savings proposals and the budget strategy assumptions outlined in the 2018/19 Budget Strategy Report, published in July 2017. The chart below shows how this will be achieved.

### Budget Strategy 2018/19 (£m) = How we will close the budget gap



**COUNCIL TAX** - Council tax accounts for 27 % of the Council's budget, with the remainder coming from the Welsh Government. The budget strategy currently includes assumptions in relation to a 3.7 % increase in Council Tax. An increase of this amount equates to 78 pence per week per household in Council Tax Band D. The assumption will need to be kept under review as there is potential for further pressures to emerge as the year progresses, particularly as this year the UK budget is due in late November.

**CAP ON SCHOOLS' GROWTH** - Schools will receive an extra £2m to support the growth in the number of pupils in 2018/19. Around £4.9m additional funding pressures facing schools have been identified, and these will be "capped" at 30 %. This means that schools will receive £5.4m of growth on their budgets next year, but that a budget saving of £1.5m will also be found.

**USE OF RESERVES** - We have to exercise caution in using reserves, as they are a finite resource – once they're gone, they're gone. They are also generally set aside for a specific purpose. While Cardiff's reserves are comparatively low for an authority of its size, use of reserves at the level above strikes the right balance between maintaining financial resilience and supporting services in 2018/19.

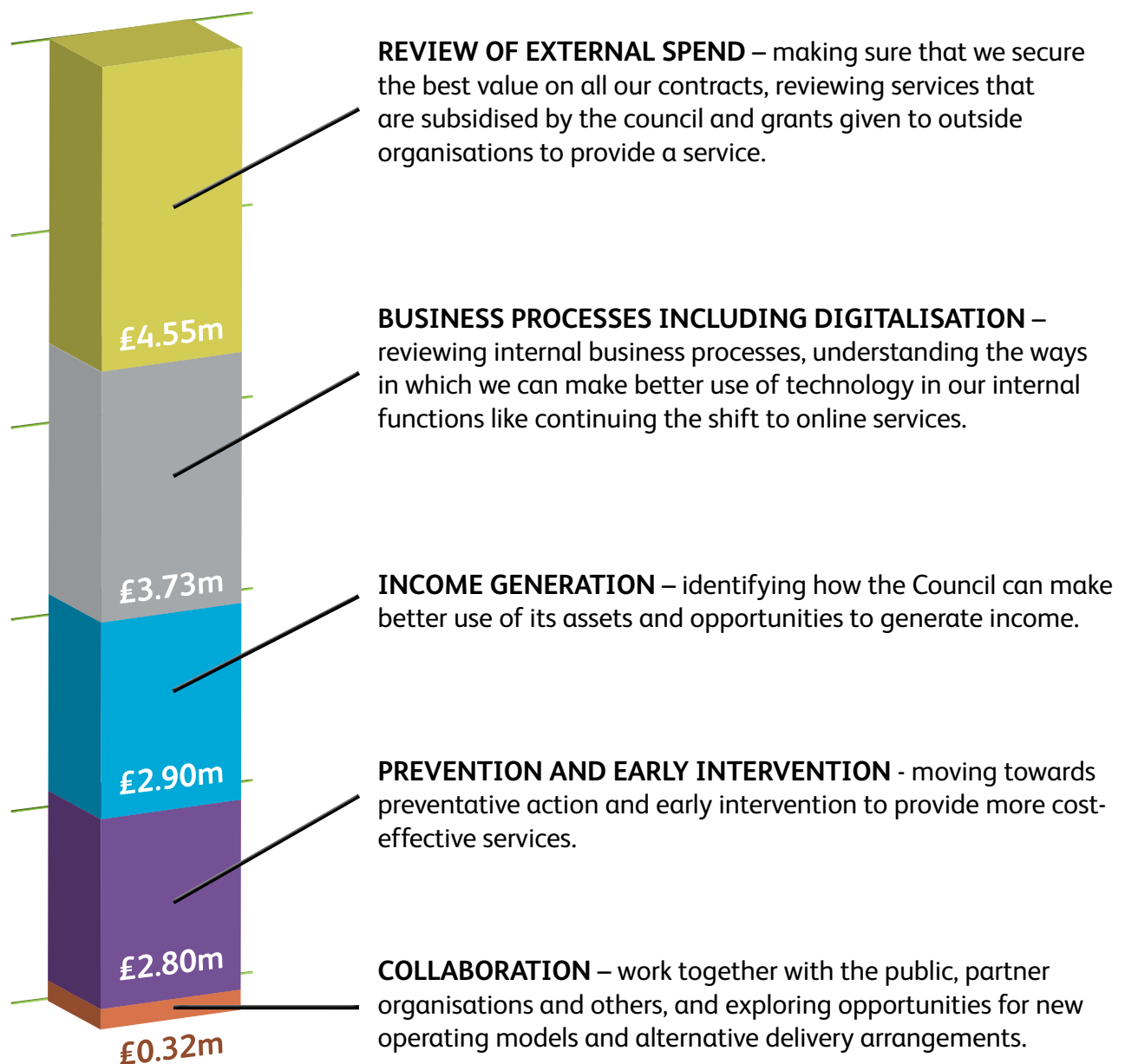
**SAVINGS** - Despite having made almost a quarter of a billion pounds of savings over the past decade, the Council continues to have to make significant levels of savings in order to close the budget gap. Over £14m of savings have been identified for 2018/19. How we are proposing to find these savings is shown on page 8.

## PROTECTING FRONT LINE SERVICES

In preparing these draft savings proposals, we have at all times sought to protect front line services, with proposals including net investment into services like schools and social services.

Our proposals are grouped against a number of themes as shown in the chart.

### 2018/19 Budget Savings Proposals by Theme (£m)









## SECTION 5 : BUDGET THEMES

### REVIEW OF BUSINESS PROCESSES AND EXTERNAL SPEND

In preparing this draft budget, we have at all times sought to protect front line services, and rigorously challenge all Council processes and external spend, with a focus on getting the very best value for money from contracts and, where it makes sense, to bring services back in-house.

The majority of the proposed budget savings (£8.3m) will be found in this way.

In reducing our external spend, our budget proposals include; changes to maximise energy efficiency within our buildings and our street lighting, driving efficiencies in how we maintain our parks, assets and infrastructures and how we deliver school transport. They also include proposals on reducing the external spend on supporting major events in the city and on ICT support.

DO YOU HAVE ANY COMMENTS REGARDING THE COUNCIL'S APPROACH?

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## DIGITAL FIRST

We are committed to adopting a 'Digital First' agenda, providing digital, 24/7 access to services which is indistinguishable from that available to citizens in every other aspect of their lives.

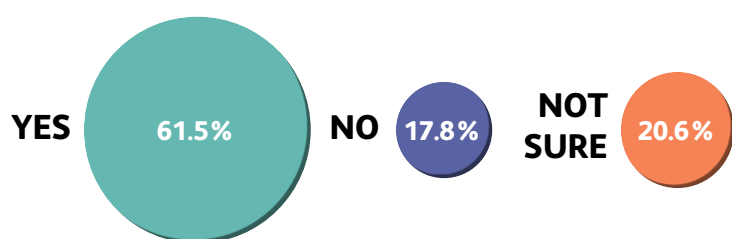
Over the last three years, the Council has begun to respond to this trend, with an increasing number of interactions with citizens managed via digital platforms:

- 69.4 % of Parking Permits are now applied for online;
- 75.7 % of Recycling bags and Waste Caddies are requested online;
- 90 % of school applications were made online (an increase of 20 %);
- Almost 150,000 payments are now made digitally;
- A 150 % increase (from 32,000 to 78,000) in Twitter followers and the establishment of a presence on Facebook which has grown to over 11,000 followers, has taken place in the last two years.

We have also used digital technologies to transform the way services are delivered. For example, by introducing mobile working and scheduling nearly 250 staff who work in housing maintenance and nearly 650 social care workers are able to spend more time with service users, with savings released in office accommodation.

### What you have told us:

*Around three in five of you have already told us that you support investment to increase opportunities for "self-service" i.e. doing things yourself online and would like to see more opportunities in the future.*



The greatest support came from men (69.6 %). Older people and those with a disability were less likely to support opportunities for self service, something that we will continue to consider when introducing any additional services or changes to services.



## Are there other Council services that you would like to access online?

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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### If 'yes' please tell us which ones


**COUNCIL NEWSPAPER** - The communications strategy puts the use of digital forms of communication - especially social media - at the heart of how the Council interacts with the people it serves. We are therefore proposing that 'In Cardiff', the Council's free quarterly newspaper, available to pick up in supermarkets, Hubs and other Council buildings be discontinued with a saving of £37k.

## Are you a current reader of 'In Cardiff'?

Yes	<input type="radio"/>		
No	<input type="radio"/>	Not aware of 'In Cardiff'	<input type="radio"/>

## Do you use the following:

Twitter	<input type="radio"/>	Facebook	<input type="radio"/>	Instagram	<input type="radio"/>
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**Do you currently follow Cardiff Council on:**

	YES	NO, WAS NOT AWARE	NO, NOT INTERESTED
Twitter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Facebook	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Instagram	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**What is your preferred means of receiving news and information from the Council?**

Email	<input type="radio"/>	Via a Councillor	<input type="radio"/>
Facebook	<input type="radio"/>	Public meetings	<input type="radio"/>
Twitter	<input type="radio"/>	Council Website	<input type="radio"/>
Direct Mail/Newsletter	<input type="radio"/>	Other (please specify)	<input type="radio"/>

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**Do you agree with the ending of In Cardiff newspaper as a saving?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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**If no, what are your concerns?**

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**E-BILLING** - All Cardiff residents will soon be invited to make a switch to e-billing for Council Tax. By agreeing to this you will enable your bills, notifications and reminders to all be sent to you electronically. This will have positive financial and environmental effects with less paper used, and savings made on materials and postage. The service will also be faster and more efficient.

**Will you be signing up to the scheme?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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**If no, what are your concerns?**

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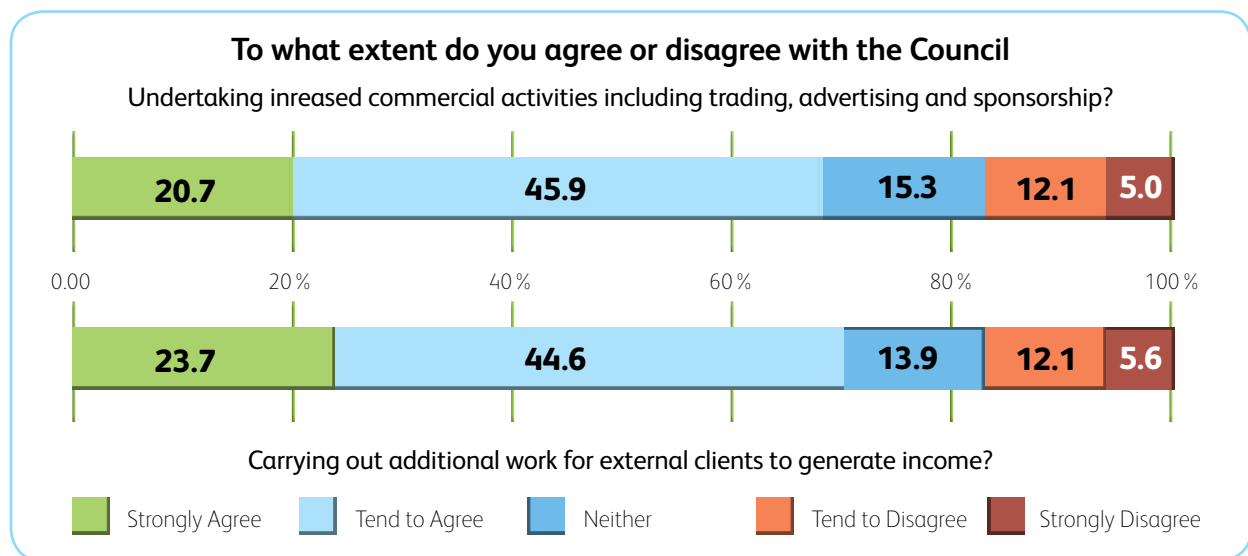


## INCOME GENERATION

One of the ways in which we can meet the challenges we face is to be more entrepreneurial in areas where the Council can generate income, which can then be used to reinvest into supporting our public services.

### What you have already told us:

Two thirds of respondents agreed with proposals for the Council to undertake commercial activities (66.6 %) and working for external clients to generate income (68.3 %).



### Our budget proposals:

Over the course of 2018/19 we are proposing £2.9m of increased income from certain Council services. These include expanding markets in services like commercial waste, pest control, building cleaning services, Welsh language translation, and training and development. They also include generating more income from renewable energy and street lighting, Cardiff Dogs Home, and an increased volume of planning fees.

**EXPANSION OF MEALS ON WHEELS** - Currently the service operates below capacity. The council will look to increase the number of service users to bring the service up to full capacity.

### Do you agree with the proposal to expand the Meals on Wheels Service?

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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**Would you or someone you know benefit from the service if it was opened to the whole population?** (please tick all that apply)

No	<input type="radio"/>	Yes, myself	<input type="radio"/>
Yes, a relative	<input type="radio"/>	Yes, a friend	<input type="radio"/>

**We are also proposing to increase prices in the following areas:**

**Cardiff International White Water (CIWW).** It is proposed to increase prices on certain activities at CIWW, such as Friday evening white water rafting. This was previously offered at a reduced rate to encourage additional service users, the increase now brings the session back into line with other days.

**Have you or your family previously used the Cardiff International White Water Centre?**

Never	<input type="radio"/>	Once or twice	<input type="radio"/>
A few times	<input type="radio"/>	Frequent User	<input type="radio"/>

**Do you support the increase in prices at CIWW?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Not sure	<input type="radio"/>
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**How would this increase affect you?**

It would not impact my visit	<input type="radio"/>	I would be less likely to visit in future	<input type="radio"/>
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**BEREAVEMENT** - Cardiff Council's award winning Bereavement Services are responsible for the undertaking of over 4,000 funerals per year as well as the upkeep and maintenance of seven sites. Income from crematoria and burials has been consistently reinvested to ensure this valuable service is as good as it can be. It is proposed that the price of a cremation be increased from £540 to £560 (an increase of 3.7 %) and a burial from £630 to £650 (an increase of 3.17 %). In reviewing these charges we have compared this price with other local authority providers and the service remains competitive.

**Do you support the proposal to increase the cost?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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**Do you have any further comments regarding Cardiff Council's Bereavement Service?**

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**DOGS HOME** - Cardiff's award winning Dogs Home deals with nearly 1,000 dogs every year with the focus on the safety of dogs and the citizens of Cardiff. They successfully achieve this by taking in stray dogs, caring for them, re-uniting them with their owners or rehoming them. It is proposed that the price of rehoming a puppy be increased from £150 to £160 and that for other dogs the price is increased by £20, taking the range of prices from £100-£300 to £120-£320. In reviewing these charges, we are working towards a position whereby the Dogs Home can become self-sustainable in the future.

### Do you support the proposal to increase charges for rehoming dogs?

Yes	<input type="radio"/>	No	<input type="radio"/>	Don't Know	<input type="radio"/>
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### If no, what are your concerns?


**SCHOOL MEAL PROVISION** - Cardiff Council's School Meals service supplies meals to every primary school and the majority of secondary schools in Cardiff. The price of a primary school meal is £2.40 and a set meal in secondary school is £2.85. The Council is proposing to increase the cost by 10p to £2.50 and £2.95 respectively.

### Does your household use the School Meals service?

Yes	<input type="radio"/>	No	<input type="radio"/>	Not Applicable	<input type="radio"/>
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### Do you support the proposal to increase the cost of school meals?

Yes	<input type="radio"/>	No	<input type="radio"/>	Not Sure	<input type="radio"/>
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**If no, what are your concerns?**

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## **EARLY INTERVENTION AND PREVENTION**

We're committed to working with our public and third sector partners to deliver lasting solutions to complex problems, particularly when it comes to issues like supporting vulnerable children and families or helping older people live independently, in their communities, for as long as possible.

### **Our budget proposals:**

We will work with partners to reshape our approach to supporting people into jobs, simplifying and helping people make sense of what is currently a fragmented and confusing system.

We are also proposing new approaches to how we support communities to get involved in the delivery of services through developing community involvement plans and working with partners, like the health board, police and the third sector, at the community level.

We are working to focus resources on developing services based on early intervention and prevention in respect of Social Care. This means that we will work with individuals and families when difficulties are first identified rather than when they become critical. This will give better support to citizens whilst also being financially efficient.

This will be done particularly through making sure that the Community Reablement Team (CRT), a joint service that works with teams in the health service to offer a wide range of services to care for, and support, people, has the biggest impact it possibly can. Every CRT care package is bespoke to the needs of the individual and will typically include domiciliary (home) care and specialist therapy (provided by health colleagues). The evidence from Cardiff and across the UK is that this approach has a significant positive impact on people's health, wellbeing and independence, and they become less reliant on social care services.

	YES	NO	DON'T KNOW
Is an emphasis on early intervention and prevention with an aim to enabling people to remain in their own homes for longer an approach that you support?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Do you agree with an aim to reduce the number of care home placements by supporting people to live at home longer?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Do you agree that the Council should aim to work jointly with partners in health to deliver bespoke packages of care?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**If no, what are your concerns?**

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## COLLABORATION

Tackling inequality, managing growth and addressing financial challenges can only be achieved by working together with local people, communities and partners organisations. We are committed to moving away from trying to deal with problems in isolation and working with partners to integrate frontline teams and back-office systems so that we can address the problems we know need solving.

### What you have told us already:

*Almost three quarters of respondents, (73.6%) supported the Council in exploring new ways of working with partners and over organisations to improve services and deliver efficiencies.*

**YES**

73.6%

**NO**

9.7%

**NOT  
SURE**

16.7%

Base: 5357

### Our draft budget includes:

Projected savings of £93K for Cardiff from the creation of a single shared service for Environmental Health, Trading Standards and Licensing functions of Cardiff, Bridgend and the Vale of Glamorgan Councils under a single management structure.

Following this we now explore the merger of our passenger transport team with a neighbouring authority.



**Do you agree with the proposals outlined?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Not Sure	<input type="radio"/>
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**If no, what are your concerns?**

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**Do you have any other ideas?**

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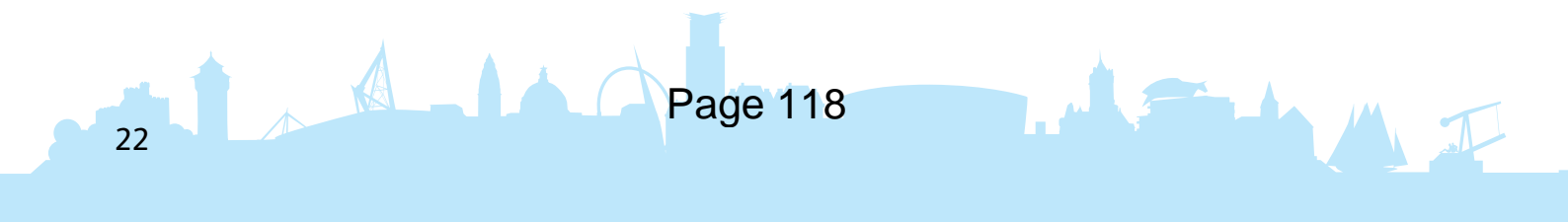
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## A NEW DEAL WITH CITIZENS

Keeping our streets clean, hitting our sustainable transport targets and looking after our most vulnerable people can't be achieved by the Council alone. We want you to work with us to help make your community a better place to live.

### What you have already told us:

In response to a recent consultation, just 35 % of you told us that you feel able to have your say on how Council services are run in your community. This proportion was even lower amongst those living in the city's less well-off neighbourhoods.

Responses from this survey will help us to create more opportunities for local people to be involved in their local community and have a say in the things that matter most to them.

Listed below are a number of ways that you could contribute to the well-being of your community

	I AM ALREADY INVOLVED	I WOULD LIKE TO BE INVOLVED
Community Volunteering e.g. litter picking/ community gardening	<input type="radio"/>	<input type="radio"/>
Act as a school governor	<input type="radio"/>	<input type="radio"/>
Helping others in my neighbourhood e.g. shopping or visiting elderly or vulnerable people	<input type="radio"/>	<input type="radio"/>
Increasing use of sustainable travel i.e. public transport/cycling/walking	<input type="radio"/>	<input type="radio"/>
Learning more about how to reduce your carbon footprint	<input type="radio"/>	<input type="radio"/>
Supporting vulnerable young people by becoming a foster carer	<input type="radio"/>	<input type="radio"/>
Formal volunteering for an organisation or public services such as in a Hub or in a Hospital	<input type="radio"/>	<input type="radio"/>

	I AM ALREADY INVOLVED	I WOULD LIKE TO BE INVOLVED
Become a member of a group delivering a project or activity in my community by sharing skills such as sewing, woodwork or baking	<input type="radio"/>	<input type="radio"/>
Member of a social support group with similar interests e.g. lunch club, reading group or mother and toddler meetings	<input type="radio"/>	<input type="radio"/>
Fundraising for local causes	<input type="radio"/>	<input type="radio"/>
Offering apprenticeships or work experience opportunities as a business owner	<input type="radio"/>	<input type="radio"/>
Improving community safety as part of a Neighbourhood Watch	<input type="radio"/>	<input type="radio"/>

**If there is something else, please tell us:**

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**More information on volunteering opportunities available at  
[www.volunteercardiff.co.uk](http://www.volunteercardiff.co.uk)**



If you would like to be contacted regarding opportunities or activities in your local area, please provide contact details:

**Name:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Tel:** \_\_\_\_\_

**WASTE COLLECTION** - As a Cardiff resident, we want you to love where you live and to help keep the city tidy. By ensuring that you and others take care of the small things e.g.

- Putting your recycling and waste out correctly for collection.
- Ensuring any waste you produce from your household is stored and disposed of legally.

... we are able to make significant savings and ensure that money is available for the things that really matter. The Council would also be able to make additional income and reduce processing costs if we change our approach to recycling collection (£38k). This would require householders to separate out glass from the rest of their recyclable waste prior to collection.

**Are you supportive of the Council's move towards separate glass collections in order to reduce costs and help meet recycling targets?**

Yes	<input type="radio"/>	No	<input type="radio"/>	Not Sure	<input type="radio"/>
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**If no, what are your concerns?**

## SECTION 6: YOUR PRIORITIES

We have set out in this document the pressures that Cardiff is facing because of population growth, poverty and the increased pressure on services. We have sought wherever possible to make savings in ways that protect front-line services, but we know that the challenges we face will mean that difficult decisions about local public services will have to be taken.

At a time of austerity, where budgets are under pressure, we want to hear your priorities for how limited funding could be invested. In the box below we have listed some of the areas where we know that there are significant budget pressures.

**Please place a tick against the three things you consider to be the top priorities.**  
You can also place a cross against the one thing you consider to be the lowest priority.

PRIORITY	RANK
<b>Building more affordable houses and tackling homelessness</b> Housing in Cardiff is unaffordable compared to other major British cities with the average house costing around eight times the average salary. Furthermore, the waiting list for affordable housing stands at nearly 10,000 and the number of rough sleepers has doubled since 2014.	
<b>Support our children's education by investing in School Buildings</b> We are committed to providing children in Cardiff with a great education, but our school buildings are growing old and need investment. An estimated £72m is needed to modernise Cardiff schools.	
<b>Intervening early to support vulnerable children</b> Cardiff is already a great place for many of its children and young people to grow up, but the number of young people entering the care system is growing quickly. To tackle this we need to focus on identifying and working with vulnerable children and families to make sure they get the right support at the right time, way before a crisis is reached.	
<b>Investing in sustainable transport to reduce congestion and improve air quality</b> As Cardiff grows, congestion is projected to increase. Improved public transport and improved cycle paths will make it easier to get around the city as well as improve air quality.	

PRIORITY	RANK
<p><b>Keeping our streets and neighbourhoods clean and litter-free</b></p> <p>Keeping our streets and communities clean and well-maintained, and punishing those who litter and those caught fly-tipping.</p>	
<p><b>Communities where people feel safe and where our most vulnerable adults are protected from exploitation and abuse</b></p> <p>Crime in Cardiff has been falling for years, but fear of crime and levels of anti-social behaviour are high, and a small number of people – particularly children and women – are subject to abuse, violence and exploitation.</p>	
<p><b>Helping older people live in the community for as long as possible</b></p> <p>The number of people over 85 in Cardiff is set to double over the next 20 years. The Council will need to support people to live independently in their own homes for as long as possible, because this is what older people prefer, it leads to better health outcomes and less expensive than long stays in hospital or in residential care homes.</p>	
<p><b>Creating more and better jobs</b></p> <p>Cardiff's economy is doing well. Unemployment is down, visitor numbers are up and more jobs are being created. However, compared to the best performing cities, we need to create better paid jobs. At the same time, there are people in our communities who need more help and support to access the jobs being created.</p>	
<p><b>Culture and leisure</b></p> <p>Cardiff has a great reputation for culture and sports, and the Council helps bring major events – like the Champions League Final - to the city and supports cultural and leisure centres and programmes in communities. Hosting more of these events may require more support from the Council.</p>	
<p><b>Improving the Condition of Roads in Cardiff</b></p> <p>The number of people who travel to Cardiff by car to work, to shop and to enjoy events affects the quality of our roads. The Council is committed to maintain the standard of our roads and footways but improving the conditions of roads more quickly will require additional investment.</p>	

## ABOUT YOU

We want to make sure that all its services are accessible to everyone. We therefore ask you to answer the following questions so we can be sure our services are delivered fairly and that no-one is discriminated against. All questions are voluntary and it will not make any difference to the services you receive if you do not answer them. By choosing to answer them you are helping us to ensure everyone in our city is treated equally.

Any information provided will be treated confidentially and we will not ask you to provide your name.

So that we can target our services across the city, please tell us your Postcode:		<input type="text"/>	
<b>Gender</b>	<input type="checkbox"/> Male	<input type="checkbox"/> Prefer not to say	
	<input type="checkbox"/> Female	<input type="checkbox"/> Other, please specify:	<input type="text"/>
<b>What is your age?</b>	<input type="checkbox"/> Under 16	<input type="checkbox"/> 16 - 24	<input type="checkbox"/> 25 - 34
	<input type="checkbox"/> 35 - 44	<input type="checkbox"/> 45 - 54	<input type="checkbox"/> 55 - 64
	<input type="checkbox"/> 65 - 74	<input type="checkbox"/> 75+	<input type="checkbox"/> Prefer not to say
<b>Disability</b>	Identifying as a disabled person can include people with hearing or sight impairments, people with mental health difficulties or learning disabilities, people with mobility impairments, or those who have long-term health conditions, for example: depression, diabetes, asthma, multiple sclerosis, HIV or cancer.		
	<b>Do you identify as a disabled person?</b>		
	<input type="checkbox"/> Yes (please specify) :	<input type="checkbox"/> No	<input type="checkbox"/> Prefer not to say
	<input type="checkbox"/> Deaf / Deafened / Hard of hearing	<input type="checkbox"/> Mobility impairment	<input type="checkbox"/> Long standing illness or health condition
	<input type="checkbox"/> Wheelchair user	<input type="checkbox"/> Learning impairment / difficulties	<input type="checkbox"/> Visual impairment
	<input type="checkbox"/> Mental Health difficulties	<input type="checkbox"/> Prefer not to say	<input type="checkbox"/> Other (please specify):
	<input type="text"/>		
<b>Sexual Orientation</b> (only answer this question if you are over the age of 16)			
<input type="checkbox"/> Gay Man	<input type="checkbox"/> Gay Woman / Lesbian	<input type="checkbox"/> Heterosexual / Straight	
<input type="checkbox"/> Bisexual	<input type="checkbox"/> Prefer not to say	<input type="checkbox"/> Other (please specify):	
	<input type="text"/>		
<b>Religious Belief / Non-Belief</b>			
<b>Do you regard yourself as belonging to any particular religion?</b>			
<input type="checkbox"/> Yes (please specify):	<input type="checkbox"/> No, no religion		
<input type="checkbox"/> Christian	<input type="checkbox"/> Buddhist	<input type="checkbox"/> Hindu	<input type="checkbox"/> Prefer not to say
<input type="checkbox"/> Muslim	<input type="checkbox"/> Sikh	<input type="checkbox"/> Jewish	<input type="checkbox"/> Other (please specify):
	<input type="text"/>		



**What is your current Marital or Civil Partnership Status** (only answer this question if you are over the age of 16)

- ☐ Single
 ☐ Married
 ☐ Registered Civil Partnership
 ☐ Prefer not to say
- ☐ Other (please specify):

**Ethnic Monitoring**

**Do you consider yourself to be Welsh?** ☐ Yes ☐ No

**White**

- ☐ Welsh / English / Scottish  
Northern Irish / British
 ☐ Irish
 ☐ Other White background

(please specify):

**Mixed / Multiple Ethnic Groups**

- ☐ White & Black Caribbean
 ☐ White & Black African
 ☐ White & Asian
 ☐ Other Mixed/Multiple ethnic background

(please specify):

**Asian / Asian British**

- ☐ Indian
 ☐ Pakistani
 ☐ Bangladeshi
 ☐ Chinese
 ☐ Other Asian background

(please specify):

**Black/ African/ Caribbean/ Black British**

- ☐ African
 ☐ Caribbean
 ☐ Other Black / African / Caribbean background

(please specify):

**Other Ethnicity**

- ☐ Arab
 ☐ Czech
 ☐ Gypsy/Irish Traveller
 ☐ Japanese

- ☐ Polish
 ☐ Yemeni
 ☐ Other

(please specify):

- ☐ Prefer not to say

**Pregnancy and Maternity**

Are you pregnant, or have you given birth within the last 26 weeks?

**Carers**

- ☐ Pregnant
 ☐ Given birth
 ☐ No
 ☐ Prefer not to say

Do you have Caring responsibilities?

- ☐ Yes
 ☐ No

A carer is a person who looks after a relative, partner, friend or neighbour who is unable to manage without help because of age, impairment or health condition, drug or alcohol problem or long-term illness. The care they give is unpaid. It also includes Parent Carers (or a person who has assumed parental responsibility) of a child or young person under 18 years old who needs support due to having a physical or mental impairment or long-term health condition.

**Thank you for taking the time to complete  
the Cardiff Council Monitoring Form**

# THANK YOU FOR YOUR TIME

Consultation opens:

## 2nd November 2017

Consultation closes:

## 12 noon, 14th December 2017



Completed surveys can be dropped off at Libraries and Hubs, returned in the FREEPOST envelope provided or posted free of charge to FREEPOST CF3474, Atlantic Wharf, CF10 5GZ.

Budget Savings Proposal Summary 2018/19 for Consultation

No		Category	Proposal	X Ref	Budget £000	Saving					Risk Analysis			Cabinet Portfolio	Consultation
						Employee Costs £000	Other Spend £000	Income £000	TBC £000	2018/19 £000	Residual	Achievability	EIA		
CONSULT 1	City Operations	Income Generation	<b>Improved Charging and Income Generation Projects</b> Generate additional income through an increase in fees and charges across City Operations in addition to maximising opportunities for recharging for services, particularly through digitalisation.	A-AK	(28,901)	0	37	175	0	212	Green	Green	Green	Strategic Planning & Transport	General
CONSULT 2	City Operations		<b>Transportation Policy - Improved Recharging</b> Maximising opportunities for recharging for services.	S-U	(769)	0	0	30	0	30	Green	Green	Green	Strategic Planning & Transport	General
CONSULT 3	City Operations		<b>Leisure Services - Cardiff International White Water</b> Generate additional income through an increase in prices.	K-O	(2,386)	0	0	9	0	9	Green	Green	Amber-Green	Culture & Leisure	City Wide
CONSULT 4	City Operations		<b>Bereavement Services</b> Generate additional income through a combination of volume and price increases.	Q	(3,378)	0	0	50	0	50	Green	Green	Amber-Green	Clean Streets, Recycling and Environment	City Wide
CONSULT 5	City Operations		<b>Planning Fee Income</b> Maximising additional planning fee income from an anticipated increase in the volume of Planning Applications.	AH-AK	(2,864)	0	0	55	0	55	Amber-Green	Amber-Green	Green	Strategic Planning & Transport	General
CONSULT 6	City Operations		<b>Cardiff Dogs Home</b> Generate additional income through a combination of volume and price increases.	R	(49)	0	0	15	0	15	Green	Green	Green	Clean Streets, Recycling and Environment	City Wide
CONSULT 7	City Operations		<b>Parks</b> A package of proposals that will see reduced management costs across the Parks & Sport service, generation of additional income and a reduction in the costs of external contracts by bringing this work back in-house.	F-J	4,520	44	23	74	0	141	Amber-Green	Green	Green	Culture & Leisure	General
CONSULT 8	City Operations		<b>Street Lighting Recharging</b> Maximising opportunities for recharging both design and inspection to Capital and Section 278 budgets, and increasing charges for these services to external companies.	AD	(242)	0	0	30	0	30	Green	Amber-Green	Green	Strategic Planning & Transport	City Wide
CONSULT 9	City Operations		<b>Renewable Energy Generation</b> Income will be derived from a number of renewable energy schemes through incentives related to energy generation (Feed In Tariffs, etc.), the sale of energy to the grid and/or other rental income.	D	(1,098)	0	0	20	0	20	Green	Amber-Green	Green	Clean Streets, Recycling and Environment	City Wide
CONSULT 10	City Operations		<b>School Transport - Phased Increase in cost of Bus Passes</b> Continuation of the phased increase in cost of bus passes to ensure actual costs match the provision.	AG	(87)	0	0	5	0	5	Green	Green	Amber-Green	Education, Employment & Skills	Service Specific
CONSULT 11	City Operations	Collaboration	<b>Regulatory Collaboration</b> Reflects a further year's saving for Cardiff from the creation of a single shared service for Environmental Health, Trading Standards and Licensing functions of Cardiff, Bridgend and the Vale of Glamorgan Councils under a single management structure.	E	5,323	0	93	0	0	93	Green	Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 12	City Operations		<b>Collaborative working in Passenger Transport</b> Potential for merging passenger transport team with neighbouring authority. Associated efficiencies may allow reductions in staffing and spend against contracts.	W	158	20	17	0	0	37	Red-Amber	Red-Amber	Green	Strategic Planning & Transport	City Wide
CONSULT 13	City Operations	Business Processes including Digitalisation	<b>Play Services</b> Implementation of the agreed model for Children's Play.	P	1,596	37	78	0	0	115	Green	Green	Amber-Green	Culture & Leisure	Prior Year
CONSULT 14	City Operations	Review of External Spend	<b>Contract Rationalisation &amp; Improved Business Process Efficiencies (Electrical and Structure &amp; Tunnels)</b> Reflects a further year's saving following implementation of new contracts and efficiencies.	V-AE	(4,689)	0	50	0	0	50	Amber-Green	Amber-Green	Green	Strategic Planning & Transport	General
CONSULT 15	City Operations		<b>Review the Delivery of Maintenance Work Currently Undertaken by External Companies in Areas including Housing &amp; Parks</b> Continuation of work to improve performance in order to enable additional work to be undertaken internally, bringing external contracts back in-house for Infrastructure & Maintenance.	AE	705	0	20	20	0	40	Green	Amber-Green	Green	Strategic Planning & Transport	General
CONSULT 16	City Operations		<b>Street Lighting Conversion to LED</b> Full year effect of the savings generated through replacement of main route lighting with LED to reduce long term energy expenditure.	AD	456	0	30	0	0	30	Green	Green	Green	Strategic Planning & Transport	General

## Budget Savings Proposal Summary 2018/19 for Consultation

No		Category	Proposal	X Ref	Budget £000	Saving					Risk Analysis				
						Employee Costs £000	Other Spend £000	Income £000	TBC £000	2018/19 £000	Residual	Achievability	EIA	Cabinet Portfolio	Consultation
CONSULT 17	City Operations	Review of External Spend	<b>Energy - Change in Energy Procurement Strategy</b> Currently energy is procured through Welsh Purchasing Consortium arrangement with 16 other Welsh Authorities. A change to this arrangement would allow a flexible approach that is tailored to the City of Cardiff's requirements, including the ability to purchase energy directly from the renewable generation capacity that the Council and others are installing in Cardiff, in turn generating savings.	A-AK	14,781	0	130	0	0	130	Amber-Green	Red-Amber	Green	Clean Streets, Recycling and Environment	General
CONSULT 18	City Operations		<b>Energy Efficiencies Within Council Buildings</b> Continue to identify projects through use of the RE:Fit framework for complete building energy retrofit, as well as alternative external funding for individual projects.	A-AK	14,781	0	30	0	0	30	Amber-Green	Amber-Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 19	City Operations		<b>Energy - Reduction in bills across the estate through improved management and behaviour change (Carbon Reduction Strategy)</b> The approved Carbon Reduction Strategy sets out a series of actions that will manage and reduce the Council's energy consumption. Part of this strategy relates to better management of energy consumption and behaviour change amongst building managers and other staff.	D	753	0	50	0	0	50	Amber-Green	Amber-Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 20	City Operations		<b>School Transport - Additional Learning Needs (ALN) - Review of Transport for Pupils Within 2/3 Miles (Primary/Secondary)</b> Review and challenge transport for statemented pupils who live within 2 miles from primary school and 3 miles from secondary. This will be done on an individual case basis, to take into account of the individual child's needs based on ALN transport policy.	AG	5,787	0	27	0	0	27	Red-Amber	Red-Amber	Amber-Green	Education, Employment & Skills	Service Specific
CONSULT 21	City Operations		<b>School Transport - Additional Learning Needs (ALN) - Route Optimisation and Retendering of Routes/Mergers</b> Reviewing on a case by case basis, working closely with Education and individual schools. Review and challenge current transport provision to ensure it fits the needs of pupils.	AG	5,787	0	50	0	0	50	Amber-Green	Amber-Green	Amber-Green	Education, Employment & Skills	Service Specific
CONSULT 22	City Operations		<b>School Transport - Travel Support Allowance</b> Replace taxi/bus provision with an advance payment to parents on a termly basis. Parents would then be responsible for pupils' transport to school.	AG	5,787	0	42	0	0	42	Amber-Green	Amber-Green	Green	Education, Employment & Skills	Service Specific
CONSULT 23	City Operations		<b>School Transport - Llanishen High School buses</b> A continuation of the planned, phased reduction in provision of buses to Llanishen High School pupils who were previously in catchment for Llanedeyrn High School (closed). Eligible pupil numbers will continue to decrease with an associated reduction in transport costs, with the phased reduction concluding in 2020/21.	AG	5,787	0	33	0	0	33	Amber-Green	Amber-Green	Green	Education, Employment & Skills	Service Specific
<b>City Operations Total</b>						<b>101</b>	<b>710</b>	<b>483</b>	<b>0</b>	<b>1,294</b>					
CONSULT 24	Communities, Housing & Customer Services	Income Generation	<b>Disabilities Facilities Grant (DFG) Fee Income &amp; Additional Selling of Services</b> Fee income based on the assumption that capital will remain unchanged for 2018/19. It is proposed to charge for low level equipment provided through the Joint Equipment Service. In addition, charge for council agency services for clients who do not qualify for a DFG. This service has not been provided previously.	L	(1,812)	0	0	105	0	105	Green	Amber-Green	Green	Social Care, Health & Well-being	Service Specific
CONSULT 25	Communities, Housing & Customer Services		<b>Expansion of Meals on Wheels</b> A plan is already being progressed to increase service users up to full capacity, making best use of existing resources (staff and vehicles). This would allow the service to fully fund itself and remove the existing £100k subsidy.	N	(2,261)	0	0	100	0	100	Green	Amber-Green	Green	Social Care, Health & Well-being	City Wide
CONSULT 26	Communities, Housing & Customer Services		<b>Phased removal of Council Subsidy to deliver Adult Community Learning</b> Third and final year of the phased reduction of Council funding to support the Adult Community Learning Leisure programme - the service will then become fully self-funding.	V	(1,370)	0	0	17	0	17	Green	Amber-Green	Green	Education, Employment & Skills	Service Specific
CONSULT 27	Communities, Housing & Customer Services	Collaboration	<b>Supporting People Grant Realignment</b> Better alignment of Supporting People Grant funding to offset the work undertaken by the Housing Officer at Adams Court.	C	(2,117)	0	0	14	0	14	Green	Green	Green	Housing & Communities	General
CONSULT 28	Communities, Housing & Customer Services		<b>Assessment and Support Realignment</b> Realignment of budget within Assessment and Support to reflect the additional Housing Revenue Account (HRA) work now carried out by the Systems and Support Team.	C	(2,117)	0	0	26	0	26	Green	Green	Green	Housing & Communities	General



Budget Savings Proposal Summary 2018/19 for Consultation

					Budget	Saving									
						Employee Costs	Other Spend	Income	TBC	2018/19	Risk Analysis				
No		Category	Proposal	X Ref	£000	£000	£000	£000	£000	£000	Residual	Achievability	EIA	Cabinet Portfolio	Consultation
CONSULT 29	Communities, Housing & Customer Services	Collaboration	<b>Appeals and Complaints Team Service Integration</b> The Appeals & Complaints section now covers the whole of Housing & Communities. As such it is proposed to recharge services provided to the HRA.	J	(981)	0	0	103	0	103	Green	Green	Green	Housing & Communities	General
CONSULT 30	Communities, Housing & Customer Services		<b>New approach to Employability Services</b> Cabinet report in November 2017 to agree a new approach to Employability Services, including better alignment of existing grant funding and increased income from sale of training which would offset existing management costs, thereby releasing savings.	H	(461)	0	0	50	0	50	Green	Amber-Green	Green	Housing & Communities	Service Specific
CONSULT 31	Communities, Housing & Customer Services	Business Processes including Digitalisation	<b>Deletion of two vacant Benefit Officer Posts</b> Reflects the increased productivity with the Housing Benefit Team.	C	3,792	60	0	0	0	60	Green	Green	Green	Housing & Communities	General
CONSULT 32	Communities, Housing & Customer Services		<b>Prevention Services - Deletion of Community Care Aid Worker</b> Following a change in objectives in this team, it has been possible to delete a vacant post.	L	1,701	23	0	0	0	23	Green	Green	Green	Social Care, Health & Well-being	General
CONSULT 33	Communities, Housing & Customer Services		<b>Neighbourhood Regeneration - Service Integration</b> Realignment of budgets to reflect an increase in work undertaken within the HRA.	S	(444)	0	0	11	0	11	Green	Green	Green	Housing & Communities	General
CONSULT 34	Communities, Housing & Customer Services		<b>New approach to building resilient communities</b> Better align legacy grant funding to Neighbourhood Partnerships Locality Planning and Community Engagement budgets in order to release savings.	X	0	0	0	80	0	80	Amber-Green	Amber-Green	Amber-Green	Housing & Communities	General
CONSULT 35	Communities, Housing & Customer Services		<b>Reduction in Libraries Book Fund</b> Reduction in book fund budget in line with the current and previous years' spend. Spend will continue to be focused on key demographic groups such as Children, Welsh, Community Languages and Basic Skills.	T	74	0	50	0	0	50	Green	Green	Green	Housing & Communities	General
CONSULT 36	Communities, Housing & Customer Services	Review of External Spend	<b>Citizen Advice Bureau (CAB) Contract - Agreed reduction</b> This saving reflects the second year of a three year phased reduction in the cost of the Advice Services Contract.	J	1,027	0	30	0	0	30	Green	Green	Green	Housing & Communities	General
CONSULT 37	Communities, Housing & Customer Services		<b>Removal of the Neighbourhood Partnership Fund</b> Saving will be achieved through the removal of the Neighbourhood Partnership City Wide fund.	X	72	0	40	0	0	40	Green	Green	Amber-Green	Housing & Communities	General
Communities, Housing & Customer Services Total						83	120	506	0	709					
CONSULT 38	Corporate Management	Business Processes including Digitalisation	<b>Council Wide Efficiencies</b> In line with the Council's digital strategy, this saving will be achieved through delivering business efficiencies through third party spend, changing processes, technology and staff resources. This will put the use of digital forms of communication and service delivery at the heart of how the Council operates and interacts with the people it serves.			0	0	0	1,206	1,206	Red-Amber	Red-Amber	Red-Amber	Council Wide	City Wide
CONSULT 39	Corporate Management	Review of External Spend	<b>Reduction in the amount available to support events and market the City</b> Reducing the amount available to support events, market the City and take advantage of opportunities presenting themselves during 2018/19.	M	484	0	210	0	0	210	Green	Green	Amber-Green	Leader's Portfolio	City Wide
CONSULT 40	Corporate Management		<b>Reduction in spend on the Audit of the Council as well as a reduction in contributions to pension funds in relation to ex-employees</b>	M	484	21	10	0	0	31	Green	Green	Green	Leader's Portfolio	General
CONSULT 41	Corporate Management		<b>Efficiency Savings in Corporate Management</b> Review of spend on supplies and services	A	480	0	10	0	0	10	Amber-Green	Amber-Green	Green	Leader's Portfolio	General
Corporate Management Total						21	230	0	1,206	1,457					
CONSULT 42	Economic Development	Review of External Spend	<b>Planned removal of International Pool subsidy</b> Expectation that the international pool will operate without Council subsidy under new arrangements from 2018/19	D	1,023	0	973	0	0	973	Green	Amber-Green	Green	Investment & Development	General

Budget Savings Proposal Summary 2018/19 for Consultation

					Budget	Saving					Risk Analysis				
						Employee Costs	Other Spend	Income	TBC	2018/19					
No		Category	Proposal	X Ref	£000	£000	£000	£000	£000	£000	Residual	Achievability	EIA	Cabinet Portfolio	Consultation
CONSULT 43	Economic Development	Income Generation	<b>Increase in Income - Strategic Estates</b> Increase income from the investment portfolio and operational estate.	N	(5,503)	0	0	253	0	253	Red-Amber	Amber-Green	Green	Investment & Development	General
CONSULT 44	Economic Development		<b>St. David's Hall</b> Review of Costs, Income and Service Delivery	T	(4,850)	50	40	60	0	150	Amber-Green	Amber-Green	Green	Culture & Leisure	General
CONSULT 45	Economic Development		<b>New Theatre</b> Review of Costs, Income and Service Delivery	U	(3,480)	50	40	60	0	150	Amber-Green	Amber-Green	Green	Culture & Leisure	General
CONSULT 46	Economic Development		<b>Cardiff Castle</b> Review of Costs, Income and Service Delivery	X	(3,942)	100	0	138	0	238	Amber-Green	Amber-Green	Green	Culture & Leisure	General
CONSULT 47	Economic Development		<b>Trade Waste - Expanding Markets</b> Continuing to grow the Council's market share in Cardiff and exploring opportunities of working in partnership. This will generate additional income of £200k with an associated cost of £40k.	AE	(3,835)	0	(40)	200	0	160	Red-Amber	Amber-Green	Green	Clean Streets, Recycling and Environment	City Wide
CONSULT 48	Economic Development		<b>Twin stream waste/recycling collections and obtaining higher quality end products</b> Additional income and reduced processing costs brought about by a change in the Council's approach to recycling collections.	AH	(2,957)	0	0	38	0	38	Red	Red	Green	Clean Streets, Recycling and Environment	City Wide
CONSULT 49	Economic Development		<b>Central Transport Services income generation</b> Utilising capacity in the fleet maintenance facility to bring external contracts back in-house and increase external income, supported by new fleet management system.	AN	(465)	0	0	60	0	60	Green	Red-Amber	Green	Clean Streets, Recycling and Environment	General
CONSULT 50	Economic Development		<b>Pest Control - Expanding Market Share</b> Exploring opportunities for expanding the Council's market share through exploring opportunities for working with the private sector and other public bodies.	AT	(230)	0	0	40	0	40	Green	Amber-Green	Green	Investment & Development	City Wide
CONSULT 51	Economic Development		<b>Improved Charging and Income Generation for Security Services</b> Will be delivered through improved security services and income via internal and external bodies.	AQ	(54)	0	0	50	0	50	Green	Red-Amber	Green	Investment & Development	General
CONSULT 52	Economic Development	<b>Income generation from Building Cleaning services</b> To be delivered through a new marketing and service delivery plan.	AR	(155)	0	0	65	0	65	Green	Red-Amber	Green	Investment & Development	General	
CONSULT 53	Economic Development	Business Processes including Digitalisation	<b>Reduced Service in Tourism</b> Deletion of two vacant posts in Tourism	Y	380	47	0	0	0	47	Green	Green	Green	Investment & Development	General
CONSULT 54	Economic Development		<b>Waste Services - Local Authority Collaborative Working</b> Seeking new opportunities for income through partnership and cross boundary working - focussing on back office support provision and direct services.	AC	3,885	0	0	50	0	50	Red	Red-Amber	Green	Clean Streets, Recycling and Environment	General
CONSULT 55	Economic Development		<b>Building Services - Efficiency Improvements</b> To be delivered through new operational plan to reduce overtime, improved scheduling and efficiencies in the supply chain	AW	24	0	175	0	0	175	Green	Red-Amber	Green	Investment & Development	General
CONSULT 56	Economic Development	Prevention and Early Intervention	<b>Domestic - Round Performance management</b> Use of new technologies to improve collection efficiency and reduce vehicle costs and agency usage.	AC	5,945	203	68	0	0	271	Red-Amber	Amber-Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 57	Economic Development		<b>Treatment &amp; Disposal - Increase in productivity</b> Improving maintenance regimes and work schedules to remove down time and loss of productive time.	AH	1,657	20	0	0	0	20	Amber-Green	Amber-Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 58	Economic Development	Prevention and Early Intervention	<b>Domestic Waste Collection - Improve Attendance at Work</b> Reduce dependency on agency across the recycling and waste service team.	AC	5,945	50	0	0	0	50	Red-Amber	Amber-Green	Green	Clean Streets, Recycling and Environment	General
CONSULT 59	Economic Development		<b>Reducing Vehicle Costs in the Corporate Fleet</b> Reducing damage and insurance claims through better reporting, monitoring and training, supported by new fleet management system and supported driver training.	AN	5,728	0	60	0	0	60	Red-Amber	Red-Amber	Green	Clean Streets, Recycling and Environment	General
Economic Development Total						520	1,316	1,014	0	2,850					
CONSULT 60	Education	Income Generation	<b>Increased income within Education Traded Services</b> Generate additional income in traded services within Education following a review of pricing across School Meals, Music Services, Storey Arms, ALN and Education Psychology Services, together with further marketing of services to other Local Authorities.	X	(6,903)	0	0	110	0	110	Green	Amber-Green	Green	Education, Employment & Skills	City Wide

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No		Category	Proposal	X Ref	Budget £000	Saving					Risk Analysis			Cabinet Portfolio	Consultation
						Employee Costs £000	Other Spend £000	Income £000	TBC £000	2018/19 £000	Residual	Achievability	EIA		
CONSULT 61	Education	Business Processes including Digitalisation	<b>Delegation of Pupil Referral Unit provision</b> Full year effect of decision made in 2017/18 to delegate the funding for the Pupil Referral Unit provision to a Secondary School.	J	743	255	110	0	0	365	Green	Green	Green	Education, Employment & Skills	General
CONSULT 62	Education		<b>Education Directorate - Central staffing and management costs (Year 2)</b> This is the full financial year effect of the 2017/18 saving which was to be achieved through a reduction of staffing following a reorganisation/rationalisation of the staffing structures within the Education Directorate - taking into account all opportunities to offset costs through additional income or use of grants. Staffing reductions will be effective from March 2018, with the full year financial impact effective from April 2018. The full year effect of the savings will be £375,000, therefore realising an additional £200,000 of savings in the 2018/19 financial year. This equates approximately to the equivalent of 7 FTE.	N	1,349	200	0	0	0	200	Amber-Green	Amber-Green	Amber-Green	Education, Employment & Skills	General
CONSULT 63	Education		<b>Delegation of responsibility for licences associated with school provision</b> This saving would be achieved by delegating the responsibility for paying for licences, including performance and copyright licences, to individual schools.	A	978	0	250	0	0	250	Green	Green	Green	Education, Employment & Skills	General
CONSULT 64	Education	Review of External Spend	<b>Reduction in Central Commitment for Commissioned Early Years Places</b> Reduction in spend on nursery places in external private nurseries made possible by increased numbers of available places in maintained nursery classes in Primary schools.	K	336	0	200	0	0	200	Green	Red-Amber	Green	Education, Employment & Skills	General
CONSULT 65	Education		<b>Reduction in annual contribution to Central South Education Consortium</b> A 5% reduction to the annual contribution made towards the budget of the Central South Education Consortium.	O	1,455	0	73	0	0	73	Red-Amber	Red-Amber	Green	Education, Employment & Skills	General
Education Total						455	633	110	0	1,198					
CONSULT 66	Governance & Legal Services	Income Generation	<b>Legal Services Income - Schools SLA</b> Legal Services are provided to schools under a service level agreement, under which income is received for work carried out. This income target reflects the level of work carried out.	B	(899)	0	0	40	0	40	Green	Green	Green	Leader's Portfolio	General
CONSULT 67	Governance & Legal Services		<b>Legal Services Income - City Deal</b> Cardiff Council is the accountable body for the Cardiff Capital Region City Deal Regional Cabinet under which ten local authorities are working together on economic regeneration in the region. Legal services are provided to the regional cabinet on an hourly rate basis and this income target reflects the agreed income.	B	(899)	0	0	55	0	55	Green	Green	Green	Leader's Portfolio	General
CONSULT 68	Governance & Legal Services		<b>Legal Services Income - Capital Receipts</b> Reflects eligible costs in accordance with regulations that can be recovered from the disposal proceeds of assets.	B	(899)	0	0	35	0	35	Green	Green	Green	Leader's Portfolio	General
CONSULT 69	Governance & Legal Services		<b>Bilingual Cardiff Additional Income - Vale of Glamorgan Contract</b> This represents anticipated additional income from providing translation services to the Vale of Glamorgan Council.	J	(60)	0	0	90	0	90	Green	Green	Green	Leader's Portfolio	Service Specific
CONSULT 70	Governance & Legal Services		<b>Increase in Fees and Charges for Legal Services</b> This represents small increases in legal fees where it is possible to charge.	B	(899)	0	0	6	0	6	Green	Green	Green	Leader's Portfolio	General
CONSULT 71	Governance & Legal Services	Business Processes including Digitalisation	<b>Reduction of Scrutiny Function</b> This proposal would delete a vacant post and a post filled on a temporary basis. It will reduce the scrutiny support function and result in fewer task and finish groups.	D	500	53	0	0	0	53	Green	Red-Amber	Green	Leader's Portfolio	General
CONSULT 72	Governance & Legal Services		<b>Reduction in Democratic support budget</b> A reduction in the staffing budget for committee services which reflects the current monitoring position in relation to clerking for internal meetings.	E	373	20	0	0	0	20	Green	Green	Green	Leader's Portfolio	General
CONSULT 73	Governance & Legal Services		<b>Efficiencies in Democratic and Member Services</b> This saving reflects a reduction in a number of smaller budgets within the directorate in line with the current monitoring position.	E&G	133	0	20	0	0	20	Green	Green	Green	Leader's Portfolio	General
CONSULT 74	Governance & Legal Services		<b>Reduction in External Legal Fees</b> Planned reduction in external legal fees due to increased capacity requiring less outsourcing of work.	B	(2)	0	83	0	0	83	Red-Amber	Red-Amber	Green	Leader's Portfolio	General
Governance & Legal Services Total						73	103	226	0	402					

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						Employee Costs £000	Other Spend £000	Income £000	TBC £000	2018/19 £000	Residual	Achievability	EIA		
CONSULT 75	Resources	Income Generation	<b>Income from Hosting of South East Wales Schools Capital and Public Buildings (SEWSCAP) and South East Wales Highways Frameworks</b> The SEWSCAP and South East Wales (SEW) Highways Frameworks are collaborative construction frameworks established by Rhondda Cynon Taff (RCT). Due to changes in resources available within RCT, Cardiff were asked to take on the hosting and management of these arrangements on the understanding that staff time would be offset against the income generated by the levy applied to the framework. A Cabinet report requesting permission to take over the hosting and management was approved in July 2017.	G	(557)	0	0	40	0	40	Green	Green	Green	Finance, Modernisation and Performance	Service Specific
CONSULT 76	Resources		<b>Atebion Solutions Additional Income</b> Atebion Solutions is a trading company wholly owned by the Council which trades commercial and procurement services to other public sector organisations. The model that has been developed is based on reducing the fixed costs of the Strategic Procurement Team through the charging of full costed staff time to the company. Due to the success of the company to date, the annual income target for the Council will be stretched by £20k.	G	(557)	0	0	20	0	20	Amber-Green	Green	Green	Finance, Modernisation and Performance	General
CONSULT 77	Resources		<b>Cardiff Academy - Income Generation</b> Ongoing plan to develop and provide cost effective training both within the council and to external public sector bodies including Health & Safety training.	K	(73)	0	0	53	0	53	Red-Amber	Red-Amber	Green	Finance, Modernisation and Performance	Service Specific
CONSULT 78	Resources		<b>Recovery of staff costs &amp; income generation</b> Maximising opportunities for recharging for Organisational Development (OD) Team staff costs from supported projects and exploring new income opportunities with external partners/organisations.	Z	(11)	0	0	75	0	75	Green	Green	Green	Finance, Modernisation and Performance	General
CONSULT 79	Resources		<b>Recovery of staff costs &amp; income generation</b> Maximising opportunities for recharging for Enterprise Architecture (EA) Team staff costs from supported projects and exploring new income opportunities with external partners/organisations.	I	(16)	0	0	34	0	34	Green	Green	Green	Finance, Modernisation and Performance	General
CONSULT 80	Resources	Business Processes including Digitalisation	<b>Exchequer and Development Service efficiencies / remodelling</b> Building on efficiencies already delivered, further work processes will be reviewed thus allowing the cost of the team to be reduced through improved processes and optimising the use of existing resources to ensure there is no spare capacity.	A	899	95	20	25	0	140	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General
CONSULT 81	Resources		<b>Accountancy – Review of staff resource</b> Savings will be achieved through a review of the staffing structure and an increase in the vacancy provision to reflect on-going levels of staff turnover and management of vacancies.	C	3,056	100	0	0	0	100	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General
CONSULT 82	Resources		<b>Revenues Section - Savings derived from improved processes</b> Work will be undertaken to further improve processes without impacting the collection rate of Council Tax	E	475	50	0	20	0	70	Amber-Green	Red-Amber	Amber-Green	Finance, Modernisation and Performance	General
CONSULT 83	Resources		<b>Internal Audit - Review of Staff Resource</b> Further refocusing of priorities within the Internal Audit team allowing a reduction of one post.	D	580	36	0	0	0	36	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General
CONSULT 84	Resources		<b>Information Governance Business Efficiencies</b> Based on current workload, it is possible to reduce the team by 0.6 FTE without adverse impact on service delivery.	B	468	19	0	0	0	19	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General
CONSULT 85	Resources		<b>Human Resources Business Efficiencies</b> Savings relate to the permanent deletion of two posts that undertake transactional duties. The posts are currently vacant and residual resources have been realigned to avoid adverse impact on service delivery.	N	3,862	52	0	0	0	52	Red-Amber	Red-Amber	Green	Finance, Modernisation and Performance	General
CONSULT 86	Resources		<b>Move the Council's HR IT system on to the Council's private cloud platform</b>	P	411	0	11	0	0	11	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General



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No		Category	Proposal	X Ref	Budget £000	Saving					Risk Analysis			Cabinet Portfolio	Consultation
						Employee Costs £000	Other Spend £000	Income £000	TBC £000	2018/19 £000	Residual	Achievability	EIA		
CONSULT 87	Resources	Business Processes including Digitalisation	<b>Savings from reduction in Support Cost for HRPS system</b> Savings arising from planned reduction in support cost for HRPS IT systems. The costs associated with this were previously funded by post reductions in Human Resources as required in the original business case model.	P	411	0	178	0	0	178	Green	Green	Green	Finance, Modernisation and Performance	General
CONSULT 88	Resources		<b>ICT Staffing Budget</b> Reduction of posts in ICT. Residual resources will be realigned to avoid adverse impact on service delivery.	Q	4,300	152	0	0	0	152	Amber-Green	Amber-Green	Amber-Green	Finance, Modernisation and Performance	General
CONSULT 89	Resources		<b>Cessation of In Cardiff</b> The Council's communications strategy clearly puts the use of digital forms of communication - especially social media - at the heart of how the Council interacts with the people it serves. Within this context, the saving will be delivered by discontinuing the design and publication of In Cardiff.	U	37	0	37	0	0	37	Green	Amber-Green	Green	Leader's Portfolio	City Wide
CONSULT 90	Resources		<b>Consolidation of Corporate Policy Capacity</b> The combination of two related functions within the Council's corporate centre will enable the deletion of a post that is currently vacant.	T	529	35	0	0	0	35	Amber-Green	Amber-Green	Green	Leader's Portfolio	General
CONSULT 91	Resources		<b>Policy &amp; Partnerships - Reduction in Operational Costs</b> Reduction in operational costs in line with historic reduction of service size.	V	4,526	0	25	0	0	25	Green	Green	Green	Housing & Communities	General
CONSULT 92	Resources		<b>Corporate Performance Team Staffing</b> The deletion of a vacant senior post within the Council's Corporate Performance Team (£55k) plus other staffing efficiencies.	W	307	63	0	0	0	63	Green	Amber-Green	Green	Finance, Modernisation and Performance	General
CONSULT 93	Resources	Review of External Spend	<b>External ICT Spend</b> Reduction in ICT spend through a further review of ICT funded licences and support contracts.	R	2,159	0	206	0	0	206	Amber-Green	Amber-Green	Green	Finance, Modernisation and Performance	General
<b>Resources Total</b>						<b>602</b>	<b>477</b>	<b>267</b>	<b>0</b>	<b>1,346</b>					
CONSULT 94	Social Services	Income Generation	<b>Increase service user charges in line with Welsh Government policy.</b> In January 2017 Welsh Government expressed an intention to gradually increase the maximum weekly charge a Council could levy for non-residential care, from £60 per week in 2017 to £100 per week in 2021. As this policy is designed to ensure consistency across Welsh Local Authorities, it is proposed that the Council increases its maximum weekly charge to mirror this policy. This will increase the level of income the Council receives in service user contributions.	O	(7,404)	0	0	350	0	350	Amber-Green	Amber-Green	Red-Amber	Social Care, Health & Well-being	Service Specific
CONSULT 95	Social Services	Prevention and Early Intervention	<b>Maximise the impact of Community Resource Team (CRT) to support more people to become more independent.</b> Undertake a review of the joint service (Health and Council Social Care) and deliver improvements that: 1. Makes best use of Council and health resources to provide the right level of support to the right people 2. Helps these people become more independent and less reliant on health and social care services The cost savings will result from the Council purchasing less domiciliary care provision in the future than at present, as a result of these improvements to CRT.	O	36,173	0	1,200	0	0	1,200	Red	Red-Amber	Amber-Green	Social Care, Health & Well-being	City Wide
CONSULT 96	Social Services		<b>Maximise the impact of social care provision to support more people to become more independent.</b> Two types of improvement will be delivered: 1. Introduce a 'reablement approach' to the way some domiciliary care services are delivered. This will involve this care being provided to people in a way that best supports them to maintain or improve their level of independence. 2. Review how and when social care reviews take place. This will seek to ensure people receive the type and level of care most appropriate to their needs, at that time.	O	36,173	0	1,200	0	0	1,200	Red	Red-Amber	Red-Amber	Social Care, Health & Well-being	City Wide

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					Budget	Saving					Risk Analysis			Cabinet Portfolio	Consultation
No		Category	Proposal	X Ref		Employee Costs	Other Spend	Income	TBC	2018/19					
					£000	£000	£000	£000	£000	£000	Residual	Achievability	EIA		
CONSULT 97	Social Services	Review of External Spend	<b>Better use of funding for new care home placements.</b> The Council is changing the way it funds new care home placements to ensure the right type and level of care home services are available for people that need them, now and in the future. These changes seek to ensure that the Council funds care home places in a way that; reflects the type and quality of service, is equitable across all homes and service users and supports the quality and sustainability of these services. This seeks to end the current situation where the rates charged by some care homes are significantly higher than those charged by others that provide the same service to the same standard. These changes are not expected to reduce the quality of care home services or the amount the Council spends on care home services, but to make better use of the current level of funding.	O-V	75,393	0	450	0	0	450	Red-Amber	Red-Amber	Amber-Green	Social Care, Health & Well-being	Service Specific
CONSULT 98	Social Services		<b>Reduce the number of new care home placements.</b> The Council will increase the type and level of services available to help people fulfil their wish to remain living in their own home, as opposed to moving into a care home. The aim is to reduce the number of people living in a care home.	O-V	75,393	0	300	0	0	300	Red-Amber	Red-Amber	Amber-Green	Social Care, Health & Well-being	City Wide
CONSULT 99	Social Services		<b>Review Continuing Health Care funding towards the cost of care packages.</b> Review, with health partners, relative contributions towards the cost of care packages to continue to ensure compliance with CHC guidance on how an individual's (children and adult) needs are most appropriately met and funded.	A-AB	125,417	0	820	0	0	820	Red-Amber	Red-Amber	Amber-Green	Children & Families	Prior Year
CONSULT 100	Social Services		<b>Reduce the number of children placed in care settings outside of Cardiff.</b> Continue the efforts to ensure appropriate support is available to minimise the number of children that move, or continue to live, in fostering or residential placements outside of Cardiff. This is combined with other preventative initiatives aimed at reducing the number of looked after children in external placements.	H	18,050	0	680	0	0	680	Red-Amber	Red-Amber	Red-Amber	Children & Families	Prior Year
CONSULT 101	Social Services		<b>Mainstream awareness raising budgets.</b> There are two separate Children's services budgets aimed at making individuals aware of their rights and the services they can access. One of these budgets covers all groups and the Council has worked with different organisations to combine resources to raise awareness in the most effective and efficient way. This means that the second budget has not been used in recent years and is no longer required.	C	541	0	40	0	0	40	Green	Green	Red-Amber	Children & Families	General
Social Services Total						0	4,690	350	0	5,040					
Council Total						1,855	8,279	2,956	1,206	14,296					