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## **GOVERNANCE & AUDIT COMMITTEE: 23 NOVEMBER 2021**

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### **PLANNING, TRANSPORT & ENVIRONMENT, CONTROL ENVIRONMENT UPDATE**

#### **REPORT OF THE DIRECTOR, PLANNING, TRANSPORT & ENVIRONMENT**

**AGENDA ITEM: 4**

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#### **Reason for this Report**

1. This report has been produced in response to the Governance and Audit Committee's request for an update on the Planning, Transport and Environment control environment.
2. The Governance and Audit Committee has requested this update in respect of its role to:
  - Monitor progress in addressing risk-related issues reported to the committee.
  - Consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
  - Consider the Council's framework of assurance and ensure that it adequately addresses the risk and priorities of the Council.
  - Consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
  - Review the assessment of fraud risks and potential harm to the council from fraud and corruption.
  - Review the governance and assurance arrangements for significant partnerships or collaborations

#### **Background**

3. Cardiff Council's Planning, Transport & Environment Directorate (PTE) has responsibility for a wide and complex range of statutory and discretionary duties, functions and services. From a Capital Ambition and Corporate Plan perspective our core remit is hugely significant as we help to ensure that "Cardiff grows in a resilient way", with the ambitious aim to be among the very best cities in the UK and Europe. Our remit within the Council's Corporate Plan and Directorate Delivery Plan includes 31 Corporate Plan Steps and supporting measures (see examples below). The directorate employs circa 460 staff and teams comprising:
  - Transport policy and delivery
  - Planning
  - Highways infrastructure and operations
  - Energy & sustainability

- Air Quality
- Bereavement and registration
- Finance, Policy and Performance (Business Support)

4. To illustrate the scale and complexity of directorate priorities being taken forward, below are examples of our Corporate Steps within the current Corporate Plan and Directorate Delivery Plan referenced against respective Priorities:

| <b>Wellbeing Objective 6: Cardiff Grows in a Resilient Way</b>                         |  |
|--|--|
| <b>Priority</b>  | <b>Corporate Steps</b>   |
| <b>Delivering One Planet Cardiff to decarbonise the city and lead a green recovery</b> | <ul style="list-style-type: none"> <li>• Approve the final One Planet Cardiff Strategy</li> <li>• Finalise the delivery contract for the Cardiff Heat Network</li> <li>• Deliver a Housing Energy Efficiency Retrofit programme</li> <li>• Ensuring good air quality, including the transition to clean vehicles</li> <li>• Delivering the Cardiff Food strategy</li> </ul>  |
| <b>Transforming Cardiff's public transport and active travel systems</b>               | <ul style="list-style-type: none"> <li>• Deliver a programme of strategic transport projects (Metro etc)</li> <li>• City Centre Network Improvements</li> <li>• Investing in a safe cycling network across the city</li> <li>• Develop a new Active Travel Network Map</li> <li>• Supporting Schools with Active Travel Plans</li> <li>• Roll out 20mph speed limits</li> <li>• Adopting a healthy streets initiative</li> <li>• Prepare an Intelligent Transport System (ITS) Strategy</li> </ul> |
| <b>Putting sustainability and well-being at the heart of the city's growth</b>         | <ul style="list-style-type: none"> <li>• Conduct a full review of the Local Development Plan</li> <li>• Delivery of the Council's Master Planning Principles</li> <li>• Deliver the Council's Green Infrastructure Plan</li> </ul>   |
| <b>Building resilience into our highway network</b>                                    | <ul style="list-style-type: none"> <li>• Deliver residential LED lighting</li> <li>• Deliver programmes of resurfacing and patching</li> </ul>   |
| <b>Enhancing Cardiff's flood defences</b>  | <ul style="list-style-type: none"> <li>• Develop a water, flood and drainage strategy</li> <li>• Coastal defence improvements</li> </ul>   |
| <b>Investing in community facilities</b>   | <ul style="list-style-type: none"> <li>• Deliver the Northern Cemetery</li> <li>• Further enhancing the Bereavement Services Strategy</li> </ul>   |

5. The Director and Directorate Management Team lead on governance, risk management and internal control to ensure there is a process for management surveillance, monitoring and control within the directorate, examples of these systems are outlined in the Report together with an explanation of how these are managed, pertinent areas being, but not limited to:

- Risk Management – Corporate and Directorate Risks (see para 6)
- Internal Audit Assurance (see para 11)
- Performance Management (see para 18)
- Significant Partnership / Collaboration Governance (see para 23)
- Senior Management Assurance Statements (see para 34)
- External Assurance (see para 35)
- Value for Money (see para 42)

## Issues

### (a) Risk Management

6. Risks relevant to the directorate are captured and detailed in two main Registers: Corporate (strategic risks) and Directorate (essentially delivery plan and operational risks). In conjunction with these and feeding into the risk reporting process are Team ('day to day' work delivery risks) and Programme (project risks) Registers. Team leaders meet with Operational Managers on a weekly / fortnightly basis to discuss any Team specific issues. From this process new potential risks are identified and cascaded upwards to the Directorate Management Team (DMT) weekly management meeting, where risk is an agenda item, for intervention / escalation decisions by the Director as necessary. Similarly, weekly Programme Management meetings are held with responsible officers (Project Leads, Operational Manager's, Director and Risk Champion) where key project delivery risks are raised, discussed, monitored and reported to the Director, for intervention and escalation decisions as necessary. On a Corporate level, our two main Registers (Corporate & Directorate) are monitored formally on a quarterly basis, within an embedded and well-established process. Meetings are scheduled and held with responsible officers (Operational Managers, Team Leaders and Risk Champion) to review and update the risk position on all risks, including any newly identified risks, then both Registers are reviewed and approved by the Director prior to formal reporting, to ensure that:

- Risks are relevant (including adoption of new risks)
- Status / risk rating is appropriate
- Controls are in place and supporting mitigations are working
- Interventions are provided by the director to ensure risks are robust
- Decisions made to help manage the process
- Updates on the latest position are recorded accordingly
- Key performance indicators / measures are in place to monitor / track risk reduction, which include:
  - Statistics / data
  - Milestones
  - Reports
  - Experience / feedback
  - Results
  - Documented issues from management meetings to inform the risks

7. Escalation of high-level risks within the directorate is part of the Council's Senior Management Team (SMT) review process, whereby they can be considered for inclusion on the Corporate Risk Register if required. This includes any new significant risks identified outside of the quarterly reporting cycle. There have been no risks escalated to SMT in the last year that are not sitting on the Corporate Risk Register.

### **High Level Corporate Risks (see Appendix B for full detail)**

8. The directorate has a number of high-level corporate risks sitting on the Corporate Risk Register (CRR) which have been identified, assessed and escalated through the risk management process via DMT, then SMT, as described above. The Climate Change risk was originally one generic risk, however, due to the diverse and specific nature of the elements that make up that risk, it was agreed in conjunction with the Corporate Risk team from 20/21 that the specific elements would be reported on in their own right, in order to capture / monitor the specific risk / consequences / ratings / controls / planned actions etc, however, there is an overarching Climate Change summary on the CRR.

### **High Level Directorate Risks (see Appendix C for full detail)**

9. The Directorate Risk Register (DRR) is a strategic document and is directly aligned with the Directorate Delivery Plan and relevant Capital Ambition objectives, as well as capturing any other key risk perspectives, such as:
  - Financial
  - Legal & regulatory
  - Health & safety
  - Service delivery
  - Reputational
10. There are a number of identified directorate risks, of varying severity, examples of key red / amber risks after mitigation are included in Appendix C – the full detail of all directorate risks can be found in the Directorate Risk Register.

### **(b) Internal Audit Engagement and Response**

11. The directorate works closely and meets on a regular basis with the Internal Audit Team to ensure robust management of internal audits and actions arising. This includes our Audit Champion providing key supporting information to the Audit Team on audits to be undertaken and reports to Directorate Management Team on the schedule, outcomes and progress made. The paragraphs and table below provide an up-to-date position for the directorate:

#### **Internal Audit Assurance**

12. The directorate currently has 5 audits with open recommendations, with 13no. outstanding actions; 0 red, 7 red / amber, 5 amber / green and 1 green. The directorate has completed 80% of the audit recommendations in the last two years. The directorate response to some of the recommendations has been affected by the COVID-19 pandemic and this has led to some delays in closing recommendations. It should also be noted that a number of the outstanding actions are in relation to specific projects, therefore the actions will only close in line with the project delivery programme, as outlined below.

## **2019/20 Recommendations**

### **Building Control**

13. 1 no. outstanding recommendation regarding work instructions for new software system. The design of the new software system is currently underway, the launch date is planned for Summer 2022. Work instructions and processes will be reviewed and revised during this period and will be in place prior to launch.

## **2020/21 Recommendations**

### **Programme, Project & Governance**

14. All recommendations are in place, the Transport Programme Team has been formed and weekly programme meetings with the Director and Cabinet Member are in progress.

### **Bereavement Services**

15. All Recommendations are progressing however progress has been affected by the Covid – 19 pandemic. 1 no. red / amber is in progress and the contract is due to go to tender shortly. 2 no. amber / green are progressing, the website, IT / admin system and online payments are all due to be in place by March 2022.

### **Commissioning and Procurement**

16. 2 no. recommendations related to C&P training are progressing, the directorate is developing Commissioning & Procurement bespoke training with Procurement and the training sessions are due to commence Jan 2021. 2. no. recommendations relating to a procurement contract register have been delayed due to staffing constraints in procurement. Revised completion date for C&P audit in totality is March 2022.

### **Asset Management**

17. 2 no. outstanding actions which are progressing.  
The publication of the Highways Asset Management Plan is due to be complete by June 2022, and the migration of all Highways Assets to a central asset management system will be complete once the conversion of residential streetlighting to LED is in place.

## **2021/222 Recommendations**

### **Income & Debtors**

All outstanding recommendations are progressing, 2 actions are due to be complete by the end of December 2021, the remaining action will be complete once the new Bereavement & Registration website is in place, March 2022.

| Audit                             | Report Status | Assurance Rating                           | Outstanding Actions | Completed Actions | Total Actions | Implementation Status                     |
|-----------------------------------|---------------|--|---------------------|-------------------|---------------|---|
| <b>2021/22</b>                    |               |  |                     |                   |               |   |
| Income and Debtors – PTE          | Final         | Effective with opportunity for improvement | 3                   | 1                 | 4             | 1 action due 31/12/21 and 2 due 31/03/22  |
| <b>2020/21</b>                    |               |  |                     |                   |               |   |
| Programme and Project Governance  | Final         | Effective with opportunity for improvement | 0                   | 3                 | 3             | All actions in place                      |
| Bereavement Services              | Final         | Insufficient with major improvement needed | 3                   | 29                | 32            | 1 action due 31/12/21 and 2 due 01/04/22  |
| Commissioning and Procurement-PTE | Final         | Effective with opportunity for improvement | 4                   | 1                 | 5             | 3 actions due 31/01/22 and 1 due 31/03/22 |
| PTE - Asset Management - 2019-20  | Final         | Insufficient with major improvement needed | 2                   | 4                 | 6             | 1 due 01/06/22 and 1 due 31/03/23         |
| <b>2019/20</b>                    |               |  |                     |                   |               |   |
| Health & Safety Audit             | Final         | Effective with opportunity for improvement | 0                   | 8                 | 8             | Completed                                 |
| Building Control                  | Final         | Effective with opportunity for improvement | 1                   | 5                 | 6             | 1 action due 31/08/22                     |
| <b>Total</b>                      |               |  | <b>13</b>           | <b>51</b>         | <b>64</b>     |   |

### (c) The Wider Control Environment

#### Performance Management

18. Performance Reviews in the main, are undertaken on a quarterly basis in line with the Council's Performance Management Framework. This comprises a review of Corporate Plan Priorities, Corporate Steps as outlined in item 4 above, Directorate Plan Headline Actions and Corporate Plan Measures (Key Performance Indicators. Each Corporate Step has been allocated an owner Operational Managers and Team Leaders) and timescales, and each quarter these are responded to by respective owners to provide details on progress, relevant issues and mitigating actions, as well as providing a RAG rating; **Red** – where serious issues have occurred and it is unlikely that any further progression can be made without some form of assistance from outside of the directorate, **Amber** - where issues have occurred but they are not serious enough to require assistance and **Green** - where there are no issues with progress / performance.
19. Similarly Corporate Measures have respective owners and data is provided by them each quarter, for example the percentage of all planning applications determined within required time periods, all Measures have pre-determined targets which are reviewed by owners and agreed by the director annually. RAG ratings are allocated automatically through use of a Corporate Database as follows; **Red** - measure result is 10% or more away from target, **Amber** - measure result is within 10% of target and **Green** - measure result is on or above target. Where the review outcome is Red or Amber, mitigating actions are identified and actioned accordingly to bring matters back on track.
20. Both of these reviews are reported to Directorate Management Team meetings where the director contributes to the overall position and intervenes as required, for example where ratings emerge as Red or Amber the director challenges and seeks further explanation on the matter to establish the root cause and readjusts as required.

21. The outcome of these reviews is included in respective Sharepoint Databases and where queries arise, these are answered accordingly before being reported to Senior Management Team meetings, Cabinet and Scrutiny. The director attends these meetings or liaises to answer any further queries that may arise.
22. Furthermore, the directorate has a number of accreditations and registrations to support performance and wider quality management stems, these form part of an external validation process and impact on the directorate as assessments and audits. These provide external assurance that the directorate is compliant with a host of relevant criteria intended to ensure that they are maintained and retained, additionally these accreditations provide confidence and compliance for the effective and safe delivery of operations, actions arising from these reviews are logged, an owner allocated together with an appropriate timescale for completion and areas for improvement managed as appropriate, current accreditations and registrations are as follows:
- British Standards Institute (BSI) – accreditation to BS ISO 9001:2015 Quality Management System for Highway Maintenance (Street Lighting, Highway Electrical Apparatus, Barrier Repair and Traffic Management).
  - National Highway Sector Schemes 8 covering electrical apparatus i.e. streetlighting.
  - National Highway Sector Scheme 10b covering highway barrier repair.
  - National High Sector Schemes 12a & 12b covering highway traffic management.
  - Highway Electrical Association (HEA/HERS) – which provides a standard of excellence for highway operations and in particular streetlighting and highway electrical apparatus.
  - Association for Public Service Excellence (APSE) – providing validation for performance benchmarking for Cemetery and Crematorium Services, Roads, Highways and Winter Maintenance.

### Significant Partnership / Collaboration Governance

23. In order to maximise our contribution to delivering the Council's priorities, corporate steps and wellbeing objectives the directorate has a well-developed approach for working with partners and collaborations, this helps to put the directorate in a strong position to deliver key pieces of work, indeed this allows us to become more resilient, mitigate risks, fill skill and resource gaps, enrich delivery and reap the benefits of working arrangements as outlined below. Governance and assurance of this approach is controlled via a number of mechanisms including programme board management, project reviews, key performance indicators, performance reviews, procurement frameworks and financial monitoring. Below are partnering and collaborative examples from three of the directorate teams and services:

#### **Transport**

24. Many of the objectives included in the Capital Ambition, Corporate Plan, Transport White Paper and One Planet Strategy involves significant partnership working arrangements to deliver targeted outcomes. The Climate Emergency Programme Board meets quarterly with public sector organisations including Natural Resources Wales, National Health Service, Public Health Wales, South Wales Police, South Wales Fire, Universities, Third Sector Council and statutory undertakers to share plans and strategies and agree actions working towards carbon reduction targets. This has included working towards travel charter targets by encouraging sustainable travel, reviewing vehicle fleets and energy.

25. Several programme board and steering group meetings have been established with Welsh Government and Transport for Wales to discuss the scope of Cardiff Metro improvements, prepare business cases and study work for future extensions, bid for funding, manage risks and programmes and monitor progress managed with agendas, minutes and action logs. Similar arrangements have been established recently in working with the Burns Unit on a programme of improvements to deliver the recommendations of the South-East Wales Transport Commission that were endorsed by the Welsh Government.
26. In addition, regular meetings, engagement and correspondence is undertaken with key stakeholders and partners on specific transport related schemes and initiatives e.g. database of stakeholder consultees including Equalities Engagement Liaison Forum, disability representatives, Cycling Liaison Group, Emergency Services, Bus Operators, Public Health Wales, Natural Resources Wales, Regional Transport Groups, FOR Cardiff, Business, Developers, Universities, Cardiff Research Centre engagement with under-represented and community groups, Schools, Cardiff's Child Friendly City Programme, Cardiff Youth Council, Councillors, Charities and through social media / "Keeping Cardiff Moving" website) seeking to inform and obtain feedback and ideas according to the five ways of working (long-term, integration, involvement, collaboration and prevention) and promotion and adoption of best practice in relation to active travel, public transport, sustainability initiatives, regeneration, clean air and carbon reduction.
27. The Council is also engaged in the Cardiff Capital Region Board and working group arrangements delivering the City Deal and working towards establishing the South-East Wales Corporate Joint Committee that will be tasked with preparing the Regional Transport Plan.
28. Regional working is set up through the City Deal arrangements and working towards establishing the Corporate Joint Committees which is a statutory requirement. Authority to engage on the Metro was established through a Cabinet report and the subsequent working arrangements have needed to be flexible to facilitate the work-streams as they are progressed. Transport for Wales set up the more formal Strategic Metro Board. The Burn's Unit initiated the engagement with Cardiff Council based on delivering the Welsh Government approval of the South-East Wales Transport Commission recommendations which also aligns closely with the Transport White Paper and One Planet Strategy and the working arrangements are structured around delivering the programme they are managing. The establishment of the Climate Emergency Partnership Board is an action in the One Planet Strategy. It is an informal approach but structured around achieving key objectives in the strategy which effectively forms the framework. Other partnership working arrangements are project based in less formal ways to encourage open engagement and facilitate flexible changes in scope and participation to meet the Equality Act and Wellbeing of Future Generations Act requirements.

## **Clean Air**

29. The team works in partnership with Capital City Region (CCR) via the Regional Transport Authority (RTA) to facilitate transition to Ultra Low Emission Vehicles (ULEVs) including Electric Vehicle (EV) charging infrastructure and the forthcoming EV taxi trial and Cardiff Taxi Lease Scheme (subject to political sign off).
30. Through funding from Welsh Government, we have led work with Welsh Water and South-East Wales Local Authorities and other public sector colleagues, including Health Board, South Wales Police, on a Hydrogen Feasibility and Demand assessment study, the outcome of this study is to present a paper to the City Region to seek funding from the City Region Challenge Fund to allow the project to move to initial stage of piloting a number of H2 vehicles

in 2022. If secured a collaborative working group will be formed with appropriate terms of reference established to ensure the project objectives are agreed and delivered to enable the pilot project to be further advanced subject to funding.

31. The Clean Air Plan is being implemented with full backing of Welsh Government, and officers work collaboratively to ensure the progression of the plan will deliver forecasted improvements in air quality to ensure legal compliance is achieved. As part of the Plan, the Council has worked in partnership with Bus Operators to facilitate the bus retrofitting programme to improve NOx emissions by up to 95% on older polluting buses operating in the city. This was a formal process whereby operators were invited to apply for funding and the project was subject to formal terms and conditions.
32. We are also continuing to work in partnership with bus operators to identify and support funding bids to facilitate transition of zero emission buses, as per the bid to secure an initial 36 electric buses for Cardiff Bus which are now being delivered throughout November and December 2021.

### **Planning**

33. The Planning Service is actively engaged in a wide range of partnership and collaborative arrangements. In terms of planning policy, the Council is actively engaged in working collaboratively as we prepare a replacement Local Development Plan for Cardiff. This is a statutory duty on all Local Planning Authorities prescribed by Welsh Government including an agreed "Delivery Agreement" which was approved by full Council. A further example is the preparation of a Strategic Flood Consequences Assessment, working collaboratively and jointly with all South-East Wales Authorities. The Council attends the Planning Officers Society for Wales (POSW) meetings attended by all Heads of Planning across Wales, as well as regional collaboration through SEWSPG (South-East Wales Strategic Planning Group), and regional Development Management meetings on a regular basis. These meetings have agreed terms of reference and support collaborative working across Planning Services in Wales and within the region. The Service also attends, and hosts Core Cities meetings attended by Chief Planners across all UK Core Cities. These meetings also have agreed terms of reference and input into wider core city governance arrangements. The directorate has a commitment to creating strategic partnerships across Council Service Areas, with key stakeholders in the development sector, as well as with other statutory bodies such as Local Health Boards, Universities and Welsh Government Departments. Furthermore, the Planning Service, in partnership with the Housing and Communities Directorate, has a Service level agreement with the District Valuation Service to ensure transparency and consistency of decision making with regard to independent verification of development viability, as well as benefiting from economies of scale in terms of fees and charging.

### **Senior Management Assurance**

34. The Directorate Management Team continues to be actively engaged in the review of Senior Management Assurance Statements (SMAS), with the most recent review taking place at the half-year stage during November 2021. Statements are reviewed individually by management team who allocate a rating to each statement, evidence is provided by giving examples of what each area is doing in practice and identifying what could be done to improve matters to raise ratings accordingly. These reviews and ratings are then profiled to portray the wider picture across the directorate, from which the Director and SMAS Champion undertakes the directorate review, the work undertaken by managers acts as good reference points and indicators to base the directorate review on. The overall profile and directorate position is reviewed at Directorate Management Team meetings at

half-year and year-end and interventions agreed accordingly, for example, during this current review an action plan was agreed to help improve ratings where statements are currently deemed to be of “mixed application”, the action plan is included below and will be taken forward and monitored via Directorate Management Team meetings:

| <b>SMAS Section</b>          | <b>Opportunity for Improvement</b>  | <b>Responsibility</b>                   | <b>Target Date</b> |
|------------------------------|---|---|--------------------|
| All Sections                 | Further awareness to be provided to management team on purpose of SMAS to help promote an alignment of scores and overall consensus across the directorate – I Allwood to attend future DMT meeting.  | Directorate Management Team / I Allwood | Jan 2021           |
| Future Generations Act (FGA) | Further awareness to be provided on the Future Generations Act and Wellbeing Goal   | S Parker                                | Dec 2021           |
| Future Generations Act (FGA) | The directorate needs to consider what further partnership and collaborate reports / requirements are needed to ensure robust programme management, governance, risk management and control.  | G Harcombe / J Dixon                    | Jan 2021           |
| Future Generations Act (FGA) | Examples to be provided by managers how the directorate is applying the FGA and Goals to operations.  | Directorate Management Team             | Jan 2021           |
| Compliance                   | Continue to promote and implement actions arising from internal and external audits to help maximise assurance and compliance across the directorate  | Directorate Management Team / D Samuel  | Ongoing            |
| Planning - Decisions         | The business planning process within the directorate could be made more robust by developing another layer of plans at team leader level, this would close the gap between directorate delivery planning and personal reviews.  | Directorate Management Team / S Parker  | May 2022           |
| Control                      | Directorate to ensure that robust safeguards are place for physical assets and management actions are taken forward from respective asset audits  | Directorate Management Team             | Jan 2021           |
| Performance                  | The quality of individual personal reviews requires a review across the directorate to gauge the quality of content etc, this in practice could further ensure that the potential of staff is maximised, and they are contributing more effectively to objectives, tasks and workload | Directorate Management Team / K Palmer  | April 2022         |

The overall position for our current review is attached in **Appendix A**

**Cardiff Council – Well-being of Future Generations Examination**

35. During 2019, Audit Wales examined the extent to which the Council (PTE) is acting in accordance with the sustainable development principle in developing and launching a new Transport and Clean Air Vision for the City.
36. Audit Wales found that the Council has incorporated the sustainable development principle in its approach to developing the vision for Transport and Clean Air in Cardiff. The Council now needs to embed a consistent understanding and application of the principle and five ways of working in its endeavours to improve outcomes for its citizens.
37. The findings in the Audit Wales Report are based on fieldwork that was undertaken during the period February 2019 to March 2019. These findings include 5 Areas of Development and 15 Management Responses (actions). These actions have been allocated to managers to ensure that they can be implemented, and updates provided as required, reviews have been undertaken by respective managers and the director and reports made at Directorate Management Team meetings and to the Corporate Performance Team via an audit tracker, the actions also appear in the Directorate Delivery Plan see table for further details:

| Area of Development   | Management Response / Action   | Rating / Status |
|---|--|-----------------|
| <p><b>Long term</b> – The Council has a good understanding of current and future need. However, the potential impact of the Metro and the Council’s other priorities should be factored into any long-term interventions.</p>   | Benchmarking of transport solutions with national and international cities.  | Green / Closed  |
|   | Fully articulate in the White Paper the interdependencies between the long-term transport plans for the city and the successful implementation of the Metro.   | Green / Closed  |
|   | Work with the Welsh Government, Cardiff City Region and partners supported by Cardiff Council match funding to ensure long-term investment in sustainable travel behaviour change activities and initiatives.        | Green / Closed  |
| <p><b>Integration</b> – There is clear integration of the sustainable development principle in the Council’s policy priorities focussing on critical public health issues and sustainable transport solutions, but there is scope to strengthen its approach to integration, for example with neighbouring councils</p> | Ensure that the White Paper is explicit that in order to reduce car travel into Cardiff the transport plans for Cardiff, City Region and nationally will be interdependent.  | Green / Closed  |
|   | Ensure that the White Paper is specific about how the aspirations of the Well-being of Future Generations Act will be supported and the five ways of working applied.  | Green / Closed  |
|   | Build upon emerging city-regional governance arrangements, alongside the Welsh Government, Transport for Wales and key stakeholders to agree priorities for transport and land use investment in the Capital Region. | Green / Closed  |
| <p><b>Involvement</b> – Extensive, independent and well-resourced consultation process undertaken with significant response to the ‘Big Ideas’. However, there is scope for clearer involvement of the full diversity of citizens in the design of interventions.</p>   | Create opportunities for the full diversity of stakeholders and underrepresented groups to be involved in the design of transport interventions.   | Green / Ongoing |
|   | Establish tailored and iterative design processes for co-production of transport schemes and initiatives that provide opportunities for citizen involvement.   | Green / Closed  |
| <p><b>Collaboration</b> – The Council is collaborating with PSB partners to develop long-term</p>   | Build upon emerging city-regional governance arrangements, alongside the Welsh Government and  | Green / Closed  |

|  |  |   |
|--|--|---|
| <p>solutions for active travel and public health. The Council would benefit from introducing a similar approach to collaboration with other Capital Region Councils.</p>       | <p>Transport for Wales to enable modal shift, capitalising on the Cardiff Metro investments.</p> <p>Explore opportunities to build upon the existing relationships with Natural Resources Wales through the Public Services Board, Air Quality Forum and Schools Monitoring Programme.</p> <p>Continue to work with Public Health Wales during the preparation of the White Paper.</p>   | <p><b>Green / Closed</b></p> <p><b>Green / Closed</b></p>   |
| <p><b>Prevention</b> – Prevention activity is at the centre of the Green Paper with targets established to monitor the impact of preventative interventions and solutions.</p> | <p>Prepare a monitoring strategy that identifies the effectiveness of sustainable travel and air quality interventions and quantifies the variance and accuracy in the measures.</p> <p>Continue to plan and monitor the prioritised phasing of sustainable transport interventions for new developments to prevent reliance on car use from the outset.</p> <p>Continue to target sustainable and active travel interventions where the air quality is worst.</p> <p>Expand messaging on the benefits to health and the environment being key rationales for modal shift.</p> | <p><b>Green / Closed</b></p> <p><b>Green / Closed</b></p> <p><b>Green / Closed</b></p> <p><b>Green / Closed</b></p> |

### British Standards Institute Strategic Review

38. During the 18th to 20th January 2021 a Strategic Review was undertaken by the British Standards Institute (BSI) on the directorate's ISO 9001:2015 Quality Management System Accreditation covering highway electrical apparatus, barrier repair, highway infrastructure maintenance and road traffic management operations.

39. The objective of this assessment was to conduct a surveillance audit and look for positive evidence to verify that elements of the scope of certification as outlined above and the requirements of the ISO Standard were being effectively addressed by the directorate and that the system in place is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements as well as meetings the directorate's and Council's specified objectives, example areas covered during the assessment included:

- Leadership and commitment
- Management support system
- Planning and resourcing
- Objectives, performance, monitoring and measurement
- Human resource management
- Training, development and competence
- Risk management
- Supply chain
- Operational processes and control
- Internal audit
- Continuous improvement

40. During the assessment interviews took place with the directorate's Management Representative (BSI Standard Champion), Team Leaders and the Assistant Director to establish compliance and assurance, no non-conformities or areas for improvement were raised during the assessment.

41. BSI stated in their feedback Report that “in line with the directorate’s strategic goals to establish and maintain a Quality Management System in accordance with ISO 9001:2015, the System has demonstrated it is supporting its strategic direction. This has been evidenced through interviews, documentation, visual aids and actual video footage of operations; therefore, the Standard has been maintained and retained”. BSI commented on the professionalism of staff and the enthusiastic way in which evidence was presented.

### **Value for Money**

42. The directorate has responsibility for a wide and complex range of statutory duties, functions and services. Some services are statutory and some services discretionary. Many are now reliant on income generation and grant funding to be sustained. The importance of securing income / grant funding is driving an improved value for money culture across the directorate.

43. A range of methodologies are used to provide assurance including testing the market through procurement, benchmarking, budget monitoring, general performance management (KPIs) and customer satisfaction surveys. Some examples are outlined below.

44. A key priority for the directorate is ‘to continue to provide high quality services and excellent value for money’. This means working smarter, driving efficiencies and embracing digitalisation to maximise income generation. The directorate has reviewed processes, procedures and payments to ensure best practice. Examples of opportunities realised include:

- Engaging a third-party recovery agency to settle insurance debt resulting in a significant increase in recovery.
- Introduction of e licensing, fine and data management for environmental and highway licencing resulted in online payments, automatic notification of license renewal, and automated correspondence and case management.
- Introduction of hybrid mail solution in Civil Parking Enforcement, reducing maintenance costs of physical printers, reduced postal costs and staff efficiencies.
- Engagement of external third-party advertising company to provide Council wide advertising on highway street assets
- Introduction of Smart Parking, informs road users where there are parking spaces across the City Centre, thereby improving revenue from parking, provides information on parking behaviour to support tariff setting, and reduce congestion and pollution from car movements.
- Parking - introduction of pay by phone, 3G card reader, contactless payments, have increased income, reduced cash collections, and improved customer satisfaction.

45. The private sector has an important role in the delivery of service across the directorate. The procurement of goods and services is undertaken in accordance with the Council’s Contract Standing Orders and Procedures Rules. Obtaining value for money is a fundamental principle of these rules. Where appropriate, framework contracts have been put in place in accordance with these rules, for example, SEWTAPS (South East Wales Technical and Professional Services) is utilised to ensure maximisation of buying power, shorter lead times, experienced, technical and professional suppliers.

46. The directorate has implemented a number of Value for Money schemes especially in relation to streetlighting energy. These include streetlighting dimming, introduction of LED lighting on strategic routes, and the Radyr LED residential lighting trial. These schemes

have reduced energy consumption and achieved saving targets as per the Medium-Term Financial Plan. The directorate is currently implementing LED lighting on the remaining residential highway, converting 23,750 residential streetlights to LED; achieving further savings relating to the Medium-Term Financial Plan through energy reduction and a reduction in the Council's operational CO2 emissions', the Council has secured an interest free Salix loan of £4.578m for the LED residential lighting scheme which will optimise savings as it funds 70% of the scheme costs.

47. The directorate has implemented a long-term strategic approach and intelligent asset management solution to Cardiff's Highways management. New material technologies have been embraced, surface treatments such as micro asphalts are now utilised extensively on large scale highway projects. Such treatments are substantially less expensive to deliver than standard resurfacing projects, negate the need for excavation and disposal and therefore reduce the environmental impact. They prolong the life of the asset and are delivered in less time with less disruption. The ability to be able to deliver a range of solutions to highway maintenance management ensures that value for money is achieved.
48. In addition, another example of improved material prolonging the life of an asset is evidenced in the change in material for the Millennium Boardwalk that borders the iconic Principality Stadium has been introduced. The original timber deck and structural members had reached end of their design life at 20 years and deteriorated to such an extent that they would soon become a significant safety hazard and potentially result in the closure of the boardwalk. The boardwalk is not only an important route for active travel, but also essential to enable the stadium to be opened at full capacity. Therefore, the timber elements have been removed and replaced with a composite material made of recycled materials. The new material has a far superior life span, double that of timber, does not require regular maintenance and has a slip resistant surfacing for safer passage. Although a significant investment, when the city-wide economic effect of the stadium opening to events at full capacity is considered and the reduction in long term maintenance burdens, value for money has been achieved.
49. Cardiff Council's Planning Service is the only cost-neutral planning service in Wales. This has been achieved by closely aligning and monitoring future income to service area budgets and delivering innovative methods of income generation beyond traditional planning fees. Examples include facilitating planning performance agreements for strategic developments and securing additional income from pre-application advice requests from future developments. The Planning Service closely monitors future income potential, often several years in advance, to ensure that budgets can be met, and risks identified and addressed in a timely fashion. This is reviewed on a monthly basis and assessed against income received. Furthermore, the Service has to prepare Annual Performance Reports to Welsh Government where Cardiff is consistently within the upper quartile of national performance indicators across all Welsh Local Planning Authorities.
50. Energy Projects – the development of the Solar Farm at Lamby Way capped landfill site. The Solar Farm is a long term invest to save facility project which is projected to be self-financing as well as delivering long term financial benefits to the Council in addition to the significant carbon reduction benefits. The scheme demonstrates Value for Money by:
  - Providing a substantial amount of clean, renewable energy to supply the local electricity grid and connected buildings.
  - Makes a positive contribution to national and local renewable energy generation and carbon reduction targets.

- Providing a localised economic activity and long-term productive use for a site that would be otherwise difficult to develop.

51. Bereavement Service's profile has been raised both within the Council and nationally on a consistent basis. Each year Bereavement Services undertakes a Best Value Assessment run by the Institute of Crematorium and Cemetery Management based upon the Charter for the Bereaved. The Charter for the Bereaved was launched in 1994 by the Institute of Cemetery and Crematorium Management (ICCM). The objective was to provide a number of Charter Rights that the bereaved could expect to receive as a minimum standard of service. Since 1994 the Charter has evolved and is now used as the only national benchmark for Cemeteries and Crematoria throughout the UK by means of an annual Charter Assessment process. The Charter for the Bereaved includes 33 Charter Rights as well as guidance to offer enhanced and better services. Cardiff consistently achieves the highest Gold-level on an annual basis. This assessment is the only nationally recognised benchmarking process for cemetery and crematorium services based purely on quality of service rather than financial assessments. This scheme measures the service by using a framework developed by the Charter for the Bereaved based upon the service satisfying all 33 rights connected with funerals. The Charter also contains objectives and assists cemeteries and crematoria to set priorities for future developments and improvements. It is a self –assessment process in the form of a questionnaire related to bereavement services and the associated social and environmental impacts. Although this process is undertaken annually, the ranking achieved will change throughout the year as more authorities complete their returns, and recently the assessment criteria were updated. In 2021 Cardiff was again ranked as a Gold level service.

52. The Bereavement Services team have won a number of prestigious national awards. These include the Association for Public Service Excellence (APSE) Award for Service Team of the Year in the Cemetery and Crematorium category at the APSE event for the second time and were again nominated as finalists in 2021. Additionally, Thornhill Cemetery won the 2019 and 2020 Cemetery of the Year award for Large Burial Grounds of over 10,000 graves. Awards have also been received for the Most Improved Service and Crematorium and Cemetery of the year from the Natural Death Centre.

53. Customer satisfaction for Bereavement services is high, with the services regularly achieving over 97% satisfaction levels based on service provision questionnaires sent to families after each funeral service undertaken in order to measure how well we have performed. In the current year, the figure is at 100% satisfaction of providing a Good or Excellent service.

## **Legal Implications**

54. There are no direct legal implications from this report.

## **Financial Implications**

55. The financial implications (if any) arising from this report have been contained within the body of the report.

## **RECOMMENDATIONS**

56. That the Governance and Audit Committee considers and notes the content of the report.

**Andrew Gregory**  
**Director, Planning, Transport, & Environment**

The following are attached:

**Appendix A:** Governance and Audit Committee Presentation

**Appendix B:** Corporate Risks

**Appendix C:** Directorate Risks