**CARDIFF COUNCIL**
**CYNGOR CAERDYDD**

# GOVERNANCE & AUDIT COMMITTEE: 23 JANUARY 2024

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## PLANNING, TRANSPORT AND ENVIRONMENT CONTROL ENVIRONMENT UPDATE

## REPORT OF THE DIRECTOR OF PLANNING, TRANSPORT AND ENVIRONMENT

**AGENDA ITEM: 4**

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**Reason for this Report**

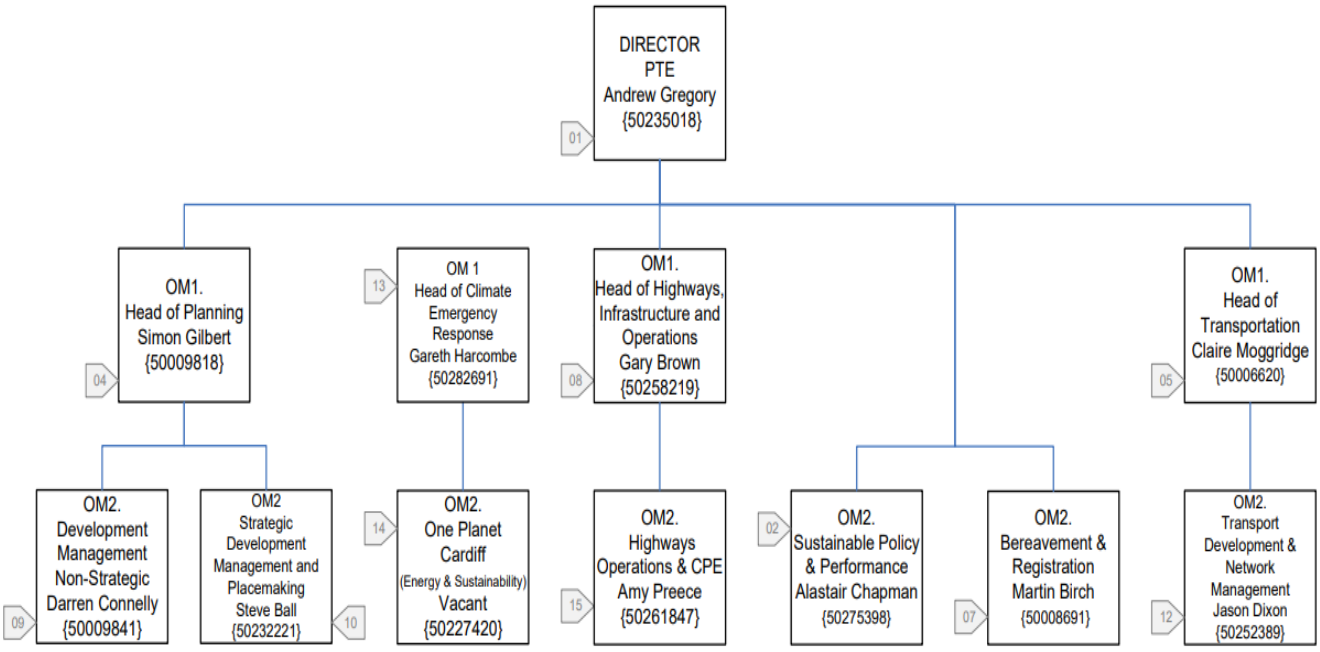
1. This report has been produced in response to the Governance and Audit Committee's request for an update on the Planning, Transport and Environment control environment.

2. The Governance 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.
    - Review and assess the authority's ability to handle complaints effectively and make any associated reports and recommendations.

## Background

3. The Planning, Transport & Environment Directorate (PTE) covers a wide and complex range of functions and services. The structure of the directorate consists of circa 454 FTE posts, the management structure and an outline of these functions can be seen below:




4. The Directorate has an overall annual budget of circa £9.3million (revenue) and £52.8million (capital). The Capital Budget varies from year to year, depending on the project programme and amount of external funding secured.

## Teams and Functions

| Operational Team | Key Functions | No of Staff |
|---|---|---|
| Planning | Local Development Plan, planning applications, sustainable development, associated community infrastructure and good urban design through placemaking, enhancing the built environment | 56 |
| Transportation | Regional and City Transport Planning and Policy, City Centre transport improvements, active travel planning | 88 |
| Highways | Highway and winter maintenance, asset management, coastal defence, flood strategy, drainage, telematics, civil parking enforcement, street lighting | 200 |
| Bereavement, Registration & Dogs Home | Burial, Cremation and Exhumation of the dead and provision of memorial options.<br>Registration of Births, Deaths, Marriages, and provision of ceremonies.<br>Provision of dogs home for the safe holding and rehousing of dogs coming into the Councils care | 87 |
| Energy & Sustainability | One Planet Cardiff Strategy; carbon neutrality and climate emergency, food strategy, renewable energy, retrofitting support | 6 |
| Business Support | Support for performance management, governance, standards & compliance, finance, budgets, correspondence, workforce planning support (sickness, PDRs, training, recruitment), bespoke senior management support. SLA support to other services such as Recycling & Neighbourhood Services. | 27 |

**Service Demands**

5. To support the Council's Stronger, Fairer, Greener Strategy and Corporate Plan our Directorate Delivery Plan sets out key commitments to make Cardiff a greener city which, through the One Planet Cardiff programme, takes a lead on responding to the climate emergency; which celebrates and nurtures biodiversity, with high-quality open spaces within easy reach for rest and play; and which is connected by convenient, accessible, safe sustainable transport options.

6. In response to the Climate Emergency, the Council and directorate has set out the One Planet Cardiff Strategy which proposes a wide range of ambitious actions across energy, housing, transport, food, and water that form the basis of a delivery plan to achieve carbon neutrality and mitigate against the impact of rising sea levels and more frequent extreme weather events. It aims to do this in a way that supports new green economies and greater social wellbeing in the city.

7. Transforming how people move about the city remains central to decarbonising the city, requiring a major programme of improvement to the public transport and active travel network. As road traffic is one of the city's biggest contributing factors to air pollution, influencing travel behaviour by accelerating a shift towards sustainable and active travel will also lead to improvements in air quality. More broadly, our city's communities – old and new - must be well-planned and well-connected, with infrastructure and public services that are fit for the future.

8. Similarly, there is a need to further enhance and modernise the Bereavement & Registration Services and as such a 10-year strategy is in place that sets out a road map for the continued improvement and development of these essential front-line services over the next 10 years.

9. Cardiff Dogs Home is a statutory service which is undergoing a number of changes with help from the charitable friends group, The Rescue Hotel. The service is also looking to commercialise its activities where possible and move to a more sustainable financial position.

10. In supporting these aims, through the Corporate Plan and Directorate Delivery Plan, the directorate predominantly underpins Well-being Objective 6: **One Planet Cardiff**, however, we also support Well-being Objective 4: **Safe, confident and empowered communities** and Well-being Objective 5: **A capital city that works for Wales**, the following are key priorities that support these Well-being Objectives that we are delivering on:

**Directorate Priorities**

| **Directorate Priorities** | **Supporting Corporate Steps** |
|---|---|
| **Well-being Objective 6 - One Planet Cardiff** | |
| **Decarbonising the city and leading a green recovery** | Report on the progress of delivering the One Planet Cardiff strategy |
| | Take bold leadership on climate change |
| | Deliver the Design and Build contract for Phase 1 of the Cardiff Heat Network |
| | Take a strategic approach to energy |
| | Increase energy efficiency and reduce carbon emissions through a Housing Energy Efficiency Retrofit programme |
| | Set out an electric vehicle infrastructure road map |
| | Promote healthy, local and low-carbon food |

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|---|---|
| | Lead the debate on the potential for renewable energy in the Severn Estuary |
| | |
| **Transforming Cardiff's public transport and active travel systems** | Work in partnership with Welsh Government, Transport for Wales and the Burns Transport Commission Delivery Unit to design and deliver a Cardiff and Regional (Metro) Tram network |
| | Continue to progress transport and clean air improvements in the city centre |
| | Ensure good air quality |
| | Support public transport aspirations in the Transport White Paper |
| | Programme the delivery of the bridge crossing scheme at Llanrumney |
| | Continue to invest in a segregated cycle network across the city |
| | Progress a programme of work to fulfil the Council's statutory duty under the Active Travel Act |
| | Nurture a strong active travel culture in every Cardiff school |
| | Prepare an Intelligent Transport System Strategy |
| | Make streets safer and greener |
| | Consider and review road user charging options |
| | |
| **Putting sustainability and wellbeing at the heart of the city's growth** | Conduct a full review of the Local Development Plan (LDP) |
| | Create better places through the delivery of new, high-quality, well-designed, sustainable, and well-connected communities |
| | Deliver the Council's Green Infrastructure Plan |
| | |
| **Enhancing Cardiff's flood defences** | Develop a draft sustainable water, flood, and drainage strategy for Cardiff |
| | Complete coastal defence improvements in Cardiff East |
| | Deliver phase 1 of the new Canal Quarter scheme |
| | |
| **Building resilience into our highway network** | Continue to deliver the programme to replace all 24,000 residential lighting to low-energy LED lighting |
| | Continue to deliver an extensive programme of localised improvements to our roads and footways |
| | Target the deployment of civil parking enforcement activity through the effective utilisation of data and technology |
| | |
| **Well-being Objective 4 - Safe, confident, and empowered communities** | |
| **Building new Council homes and investing in community facilities** | Further enhance Bereavement & Registration Services through modernising service delivery |

| | |
|---|---|
| **Well-being Objective 5 - A capital city that works for Wales** | |
| Additionally, the directorate supports several shared Corporate Steps with Economic Development including; Adopting the new Smart City roadmap and supporting the completion of Cardiff Parkway as part of our Industrial Strategy for the East of the city. | |
| | |
| **Corporate Plan / Directorate Plan Measures / KPIs** | |
| A number of Measures / KPIs are also in place to help gauge the extent of delivery of Corporate Steps, including for example; Air quality concentrations, Schools supported to introduce Active Travel Plans, Major & Householder planning applications agreed and Roads that are in overall poor condition. | |

**Directors Oversight**

11. The Director has oversight and involvement across functions and areas, some examples are outlined in the table below, during the year two key self-assessments are undertaken by the Director to outline key progress, challenges, and priorities, these are subject to challenge sessions with the Chief Executive.

| **Performance / Governance / Compliance Area** | **Purpose** | **Who's involved / where reported** | **Director's Oversight & Control** |
|---|---|---|---|
| Corporate Plan / Directorate Delivery Plan | Council & Directorate Priorities Remit, Current & Future Planning | Director, OMs, Performance Leads, Team Leaders (Leader/Members, SMT, DMT & Bespoke Planning Mtgs) | Leads on development, liaises with Members, agrees priorities, changes & sign off for publication, presents to Scrutiny, staff awareness |
| Quarterly Performance Reviews | Gauge extent of delivery of Corporate Steps & Measures | Director, OMs, Performance Leads Team Leaders (SMT, DMT & Bespoke Mtgs with Performance Leads) | Reviews and authorises narrative and ratings, agrees on content prior to submission |
| Risk Management / Registers | Manage & Control impacts | Director, OMs, Risk Champion (SMT, DMT, Bespoke Mtgs with Risk Owners) | Agrees on risk inclusions, moderates and agrees on controls, mitigations and escalations to SMT and reports to Audit Committee |
| Self-Assessment / Director Challenge Sessions | Gauge extent of progress, challenges & priorities | Director, OMs, Performance Leads (SMT, DMT, Bespoke Mtgs with Performance Leads, CEx Challenge Sessions) | Involvement and signs off inclusions in presentation slides, presents to CEx Challenge Session |
| Internal & External Audits | Compliance & conformity of operations | Director, OMs, Performance Leads, Team Leaders, Audit Relationship Manager (SMT, DMT, Audit Relationship Mtgs, Audit rollout) | Meets with internal & external audit to agree on principles / approach, agrees on recommendations and management response, reports to Governance and Audit Committee |

| | | | |
|---|---|---|---|
| Senior Management Assurance Statements | Governance & internal control | Director, OMs, SMAS Champion (SMT, DMT, Bespoke Audit Champion Mtgs) | Involvement in SMAS evidence gathering, moderating and agreeing on statement ratings, agree action plan for improvement, reports to Audit Committee |
| Cabinet Reporting | Decision Making | Director, OMs, Team Leaders, Management Officer (SMT, DMT, Members, Cabinet Office, Supporting Services i.e. Legal, Scrutiny, Cabinet, | Agrees on schedule of reporting, agrees on final report, presents to Cabinet as required |
| Budgets | Financial Management | Director, OMs, Finance Team Leader (SMT, DMT, Financial Services Mtgs, Bespoke Mtgs with Finance Leads) | Leads on Directorate budget management, ensuring the Directorate remains within cash limits and utilises resources in the most effective, efficient, and economic way.<br>Leads on the delivery of saving proposals, and is responsible for identifying mitigation if proposals are delayed/ changed etc. |
| Workforce Plan related – Sickness, PDRs, Training | Resource Management, Objectives Review, Learning & Development | Director, OMs, Workforce Champion (SMT, DMT, Team Leader Mtgs, HR Mtgs) | Leads on reviews of sickness, PDR outturn and mandatory training, agrees on improvement actions |
| Correspondence / Complaints | Customer Insight | Director, OMs, Team Leader, Correspondence Team (SMT, DMT, Bespoke Corporate Complaints Team, Member Services and Cabinet Office Mtgs) | Reviews Correspondence & Complaint outturn, manages issue relating to under-target areas, reports to Audit Committee |
| Programmes & Projects | Management of Key Work | Director, OMS, Project Leads & Team (Leader, SMT, DMT, Bespoke Programme / Project Mtgs) | Chairs appropriate programmes, agrees on governance arrangement, reports to Leader, Members & Chief Executive, pushes forward key decisions, issues and mitigations |
| Health & Safety / Service Area Joint Committee (SAJC) | Prevent accidents and injury, Trade Union Consultation | Director, OMs, Health & Safety Champion (H&S Committee, SAJC, DMT) | Chairs H&S Committee and SAJC, agrees agenda items and actions |

## Issues

### (a) Risk Management

12. 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 a standing agenda item, for intervention / escalation decisions by the Director, as necessary.

13. 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.

14. 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
    - Target dates are provided for proposed management actions
    - 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

15. 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.

16. Reporting is as of Q2 position. The Q3 position is in the process of being finalised, currently there are no proposed changes to the reporting or governance structures.

**High Level Corporate Risks (see Appendix A for summary)**

17. 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 2020/21 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, with an overarching Climate Change

summary on the CRR. However, as the individual risks have been mitigated and reduced over time, they have reached a point where they are all aligned in terms of risk rating, therefore the summary has been removed as of Q2 2023/24. There is a proposed review of the Climate Change risks being undertaken (targeting Q4 2023/24 or Q1 2024/25. We are aware that Members see the CRR on a regular basis, therefore the attached Appendix B is an outline summary only.

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

18. The Directorate Risk Register (DRR) is a strategic document and is directly aligned with the Directorate Delivery Plan and relevant Stronger, Fairer, Greener objectives, as well as capturing any other key risk perspectives, such as:

    - Financial
    - Legal & Regulatory
    - Health & Safety
    - Service Delivery
    - Reputational

19. There are a number of identified directorate risks, of varying severity. As Members do not generally get to see the DRR, a full list of key red / amber risks *after mitigation* are included in Appendix B – the full detail of all directorate risks, including those that are green can be found in the Directorate Risk Register.

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

20. Audit reports are reviewed and owned by service areas and lead officers as appropriate. Co-ordination and monitoring are undertaken by the directorate's business support team with quarterly audit review meetings led by the Sustainability Policy & Performance OM. Notwithstanding the quarterly review meetings, outstanding matters are raised though DMT meetings. On a quarterly basis the directorate has meetings with the appointed relationship manager from audit which provides valuable assurance and forward preparation for up-and-coming audits. The recent Thematic Performance Management Audit found the directorate to be effective with no recommendations.

**<u>Internal Audit Assurance</u>**

21. A summary of audit reports and outstanding recommendations in provided in the table below:

| Audit | Report Status | Assurance Rating | Outstanding Actions | Completed Actions | Total Actions | Implementation Status | Directorate Update |
|---|---|---|---|---|---|---|---|
| 2023/24 (to date) | | | | | | | |
| Planning | Draft | Effective, Opportunity for improvement | Management are considering the audit report and recommendations | | | | N/A |
| Performance Management | Final | Effective | 0 | 0 | 0 | No recommendations raised | N/A |
| 2022/23 | | | | | | | |
| Cardiff Dogs Home | Final | Effective, Opportunity for improvement | 1 | 17 | 18 | 1 open recommendation with a revised implementation date of 29.02.2024 | Final action to cross check dogs home records against those held on the Academy Website due to be completed in February 2024. |
| Income and Debtors | Final | No directorate opinion – sampled as part of corporate audit | 4 | 5 | 9 | 4 open recommendations with revised target date of 31-3-24 | Ongoing discussions to resolve final elements in relation to event parking management. |
| 2021/22 | | | | | | | |
| Section 106 Agreements | Final | Insufficient, major improvement needed | 0 | 4 | 4 | Audit Closed | N/A |
| Pre-contract Assurance | Final | Insufficient, major improvement needed | 0 | 2 | 2 | Audit Closed | N/A |
| Concessionary Travel | Final | Effective, Opportunity for improvement | 3 | 2 | 5 | 3 open recommendations with revised target 1-4-24 | Remaining actions in final stages of completion |
| Contract Monitoring and Management - PTE (Passenger Transport) | Final | No directorate opinion – sampled as part of corporate audit | 3 | 1 | 4 | 3 open recommendations with revised target 1-4-24 | 2 Actions currently seeking closure with the remainder in final stages |
| Income and Debtors - PTE | Final | Effective, Opportunity for improvement | 2 | 2 | 4 | 2 open recommendations (with target dates of 31.03.2024 & 30.04.2024) | Remaining action in relation to CIS instructions awaiting installation of Idox system in Building Control.<br>Online form system developed for Bereavement Services with follow up phone payments. |

| Audit | Report Status | Assurance Rating | Outstanding Actions | Completed Actions | Total Actions | Implementation Status | Directorate Update |
|---|---|---|---|---|---|---|---|
| Older – Longstanding Open Recommendations | | | | | | | |
| Bereavement Services | Final | Insufficient, major improvement needed | 1 | 31 | 32 | 1 open recommendation, overdue with a revised target date of 30-4-24 | Remaining action is in relation to establishing a contract for electrical and lighting services. Following discussion on service needs, feedback and options are awaited from procurement team. |
| Asset Management | Final | Insufficient, major improvement needed | 1 | 5 | 6 | 1 open recommendation with a revised implementation date of 31.03.2024 | Remaining actions relate to street lighting replacement with LED programme. This is due to be completed shortly with updates to the AMX asset management system to follow accordingly. |

## (c) The Wider Control Environment

### Senior Management Assurance Statement (SMAS)

22. The Senior Management Assurance Statement is reviewed by the Director throughout the year, this review takes into consideration several requirements including; what evidence is available to support each Senior Management Assurance Statement, to identify an appropriate rating, and to consolidate the position for the directorate. To support this work Operational Managers also undertake individual reviews and these outcomes are analysed to portray the position across core Directorate Teams, this analysis is considered by the Director to provide oversight when considering the final ratings for the directorate and to identify any improvement actions.

23. Over recent years an Action Plan has been developed to help the directorate address and embed the subject matter within Assurance Statements, and a number of ratings have increased / improved as a consequence from “mixed application” to “strong application” due to targeted actions, for example; ensuring robust risk reviews are carried out with risk owners and Director, improving Quarterly Performance Reviews through manager awareness sessions on effective and robust Performance Reporting, use of easy access shared sharepoint review documents for ease of reporting, and managers attending SMAS and Future Generation Act awareness sessions.

24. Senior Management Assurance Statements are reviewed on a 6 monthly basis to provide oversight and are reported to the Council’s Senior Management Team. The latest review for Planning Transport & Environment shows in the main, particularly good assurance levels, with a rating of “strong application” across all the statements considered.

25. In terms of the 9 key categories / types of assurance the position is as follows:

    1. Risk – Strong Application
    2. Partnership Working – Strong Application
    3. Engaging Equalities - Strong Application
    4. Compliance - Strong Application
    5. Project Initiation – Strong Application
    6. Budget – Strong / Embedded Application
    7. Planning & Performance - Strong Application
    8. Control – Strong Application
    9. Counter-Fraud – Strong Application

## (d) External Assurance

26. During July 2023 an external assessment was undertaken on PTE’s Highway Maintenance Team by the British Standards Institute (BSI) and in particular focussed on a number of National Highway Sector Schemes (NHSS) which are integral to the effective delivery of maintenance works, these being NHSS 8 (electrical apparatus and street lighting), NHSS 10b (barrier repair on high-speed routes) and NHSS 12a/b (traffic management arrangements).

The assessment was undertaken over two days and covered the BS EN ISO 9001:2015 Quality Management System's key principles of Plan, Do, Check and Act. No non-conformities or observations were raised during the assessment, with the key outcome being that the Quality Management System accreditation was successfully retained.

**Audit Wales**

27. As part of Audit Wales 'Assurance and Risk Assessment Review' (2022/23) it was recommended that the Council should '*determine the resource and cost implications of delivering its 'One Planet Cardiff' Net Zero Carbon 2030 strategy'*.

28. The One Planet Cardiff approach is not to rely solely on 'standalone' carbon reduction or climate resilience projects but to transition to a position where climate change considerations are integral within decision making. Indeed, a significant element of the strategy will rely on multiple small behavioural changes over time, which by their nature, are very difficult at financial costs with any degree of accuracy.

29. Whilst individual projects can be and are costed the strategy has a much broader influence through the delivery of council services. There are no straight forward or authoritative methodologies to assess this type of strategy. With new research, technology, business models and funding stream opportunities constantly evolving and far from fixed; our approach will inevitably need to be iterative, responding to progress and contextual change across the decade. For example, the Council has estimated the likely total cost of decarbonising all of its operational buildings but an exercise to estimate the costs of net zero procurement spend would be prohibitively complex. However, a Socially Sustainable Procurement Strategy is in place and clearly establishes our direction of travel and "asks" of suppliers in the longer term. The council monitors and reports on its Carbon and One Planet Strategy performance every year (OPC action plan review_ENG_V4.pdf (oneplanetcardiff.co.uk), One Planet Cardiff - Annual Review 2022 - Cabinet Report (v0.6) rto 20221115 (moderngov.co.uk)

30. To support the development of evaluative processes we are putting the following actions in place:

- Working with the corporate policy team, over the next 18months review and ensure Climate Change is built into the Council's governance and decision-making frameworks.
- Work to increase definition within carbon reporting and modelling so that progress in defined areas can be clearly examined. This will continue to evolve but the first step change by March 2024
- Annual report on One Planet actions and develop a framework for financial reporting on activity for 2024/25)
- Through procurement continue to build our understanding of carbon considerations in the procurement process and develop appropriate assessment tools to embed carbon reduction and climate resilience within projects.

**(e) Major Project and Partnership Governance**

**1. Transport**

31. Partnership working arrangements continue to be important for the delivery of the objectives included in the Stronger, Fairer, Greener Strategy, Corporate Plan, Transport White Paper, and One Planet Strategy. The Climate Emergency Programme Board continues to meet quarterly with public sector organisations to share plans and strategies and agree actions

working towards carbon reduction targets including implementation of initiatives of the travel charter such as reviewing vehicle fleets, energy and encouraging sustainable travel.

32. The partnership working arrangements established with Welsh Government, Transport for Wales, Burns Delivery Unit and Cardiff City Region have progressed to delivery of Cardiff Metro improvements such as Cardiff Central Station Enhancements, Crossrail and New Stations as described in the Transport White Paper. The work is at various stages of development or implementation and includes preparing business cases to support bids for funding, managing risks and programmes and monitoring progress managed with agendas, minutes, and action logs. The partnership working arrangements successfully achieved match funding between the UK Government and Welsh Government of £100m (£50m each) to deliver Phase 1 of Crossrail between Cardiff Central and Cardiff Bay.

33. Collaborative working arrangements are currently being put in place for the Road User Payment scheme with the Welsh Government and Transport for Wales to progress the Business Case development work based on WelTAG Guidance and the 5-case model. Governance arrangements have been agreed including a Member Board, Programme Board, Partnership Board, Steering Group, Coordination Officer Group, and arrangements for engagement with the South-East Wales Corporate Joint Committee. The governance arrangements are included in a Project Execution Plan including decision making and responsibilities. Key decisions, milestones and risks are reported from the coordination officer group with oversight of consultancy activities to the steering group and boards. Most decisions are made by the Senior Responsible Officer, Director of Planning, Transport and Environment through delegation by Cabinet in April 2024. The decision on any preferred option is reserved for Cabinet with the final option to be decided by Full Council.

34. The Regional working arrangements that were set up through the City Deal have facilitated the working relationships being established for the South-East Wales Corporate Joint Committee that is responsible for preparing the Regional Transport Plan.

35. 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. The governance and collaborative working arrangements are tailored to the scale and scope of each project. Ongoing 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.

## 2. One Panet Cardiff

36. The governance and oversight arrangements for the One Planet Cardiff strategy are conceptualised in the diagram below. Strategy implementation requires a network of activity with both internal and external partners. The core elements being a Cabinet Portfolio led steering group, Net Zero council group chaired by the Chief Executive and the Project

Delivery Group. The common factor in these arrangements is the participation and lead from the Director and OPC project lead.

37. In addition to, and feeding into, the above groups there are a number of project or task and finish teams. For example, Estates has a Carbon Reduction Board, which is attended by the OPC lead and focuses on climate emergency issues and projects in relation to energy efficiency and carbon reduction in the council estate. Similarly for the delivery of a One Planet business event this year a task and finish group was established to plan delivery and review the event. These types of groups report to the project delivery group, Net Zero Council and Steering Group ensuring engagement and oversight.

38. The director and officers also hold fortnightly update meetings with the Climate Emergency Portfolio holder. This is a more informal space where emerging ideas, projects, challenges, or requests can be discussed at an early stage.

39. Externally the directorate also supports the public sector Climate Emergency Board. The function of the board is to identify areas where public services can work jointly on climate emergency initiatives. The co-ordination and organisation is delivered by the directorate, this board reports to Public Services Board.

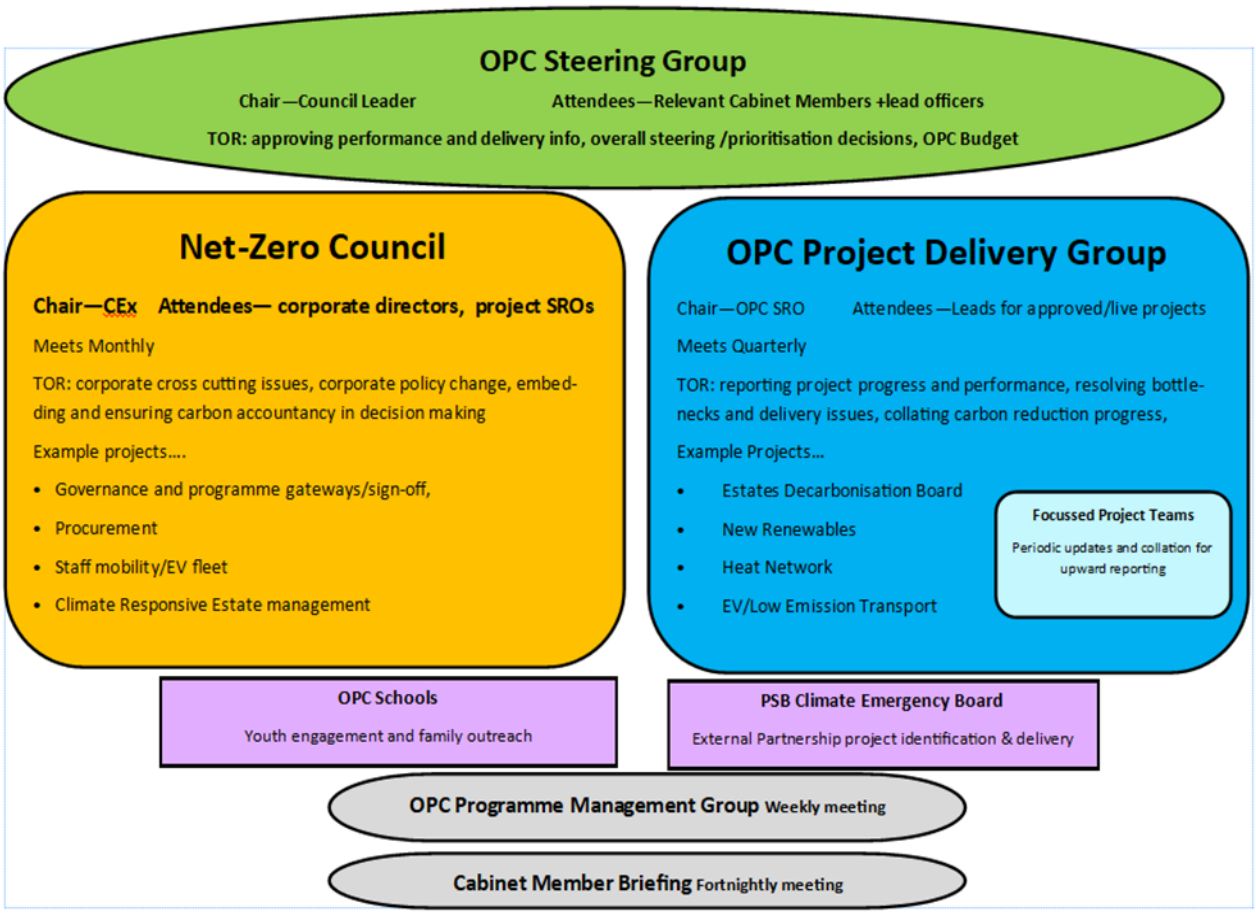


*Diagram - One Planet Cardiff Governance structure.*

40. The Directorate also holds a “special purpose vehicle” for the delivery of the Heat Network. Cardiff Heat Network Ltd is a company wholly owned by the Council and managed by a Board of Directors. Currently the directors are all Council employees appointed by the Council’s Chief Executive. The Board operates within strict terms of reference and delegated powers set out in the company’s Articles of Association. The director has been appointed as the

council's Shareholder's Representative and has delegated powers to authorise any actions or business plan amendments that fall outside of the Board of Directors' delegations. A regular meeting chaired by the Chief Executive is held to receive project updates and to discuss any significant matters arising or issues that interface with other council projects and priorities. Cardiff Heat Network Ltd is also subject to an independent annual financial audit and periodic performance audits all of which have been satisfactory to date.

| **Programme / Key Work Area** | **Purpose** | **Membership** | **Frequency & Plans** | **Priorities** | **Reporting Arrangements** |
|---|---|---|---|---|---|
| One Planet Cardiff Steering Group (see diagram) | To approve performance and delivery information, overall steering/ prioritisation of decisions as well as the One Planet Cardiff Budget. | Cllrs Wild (Chair), Thomas, Thorne, De'Ath, Merry, Weaver & Burke<br>Andrew Gregory<br>Gareth Harcombe<br>Alastair Chapman | Quarterly | Oversight of overall programme and delivery outcomes and prioritisation, and development of outward facing narrative on progress | Cabinet, with items escalated as necessary and advised by the Board. Formal delegation to apportion OPC "Small Projects" budget delegated to the Board via OPC Cabinet report |
| Net Zero Council | Corporate crosscutting issues including corporate policy, behavioural change and strategic resolution | Chief Exec (chair)<br>Directors<br>Project leads as necessary | Monthly | To champion OPC strategy across directorates at senior level. Discuss and resolve priorities | Cabinet and SMT, where appropriate |
| One Planet Cardiff Project Delivery Group (see diagram) | Directorates with project and programme interest in OPC | Andrew Gregory<br>Gareth Harcombe,<br>Alastair Chapman,<br>and project leads as necessary | Quarterly | Reporting project progress and performance, resolving bottlenecks and delivery issues, collating carbon reduction progress. | OPC Steering Group and/or Net Zero Council Group as necessary |
| Climate Emergency Board (see diagram) | To facilitate joined up public sector approaches to climate emergency response | Representation from public sector and universities operating within Cardiff e.g. NHs, Police, Fire, NRW etc | Every 2 months | Partnership working on climate emergency response projects and proposals | Public Services Board |

## 3. Planning

41. 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. We are currently considering the responses to the "Preferred Strategy" consultation undertaken over the summer of 2023 and preparing the draft policies and evidence base to form the "Deposit Plan" which will be the subject of further public consultation and engagement over the summer of 2024. Innovative consultation and engagement approaches have been employed in the preparation of the Replacement LDP, including the use of social media, on-line "virtual consultation rooms", user-friendly material and bespoke consultation events hosted by external facilitators across the city. Each formal stage of the Local Development Plan is approved by the full Council and is subject to pre-decision Scrutiny as well as a bespoke joint Scrutiny Task and Finish at each consultative stage. Furthermore, the Plan is subject to an "Examination in Public" which is essentially a public Inquiry facilitated and hosted by the Council but led by an independent Planning Inspector on behalf of the Welsh Ministers.

42. In addition, senior planning officers attend 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 the OM Major Development has facilitated an all-Wales Development Mangers Group which reports directly to POSW also. 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.

43. The Head of Planning also chairs the Safety Advisory Group which looks at safety at sports grounds and venues and is attended by colleagues in Emergency Management and Legal Services, as well as senior representatives from the emergency services. These meetings are minuted and occur approximately every 2 months and are hosted virtually.

## 4. Flooding & Drainage

Flood Risk Management (FRM)

44. The Flood and Coastal Risk Management Team continue to work collaboratively with several organisations and agents to reduce flood risk and address concerns from numerous sources - surface water, watercourses, coastal, main rivers, and drainage systems.

45. The partnership working arrangements with Welsh Government have progressed to deliver numerous schemes associated with the following grant opportunities:

- Flood and Coastal Risk management Capital Schemes
- Flood and Coastal Risk Management Small scale works
- Flood and coastal risk management revenue grant
- Coastal Risk Management Programme
- Coal tip Safety Grant

46. The majority of the funding, between 100 and 80%, is supplied by Welsh Government (WG), and requires an application and qualification process to be followed. Depending on the value of the funding, the qualification and governance requirements will differ. For example, the Coastal Defence Scheme went through a Welsh Government multi-application process that commenced at concept and went through an Outline Business Case (OBC) and to a Full Business Case (FBC) application and qualification process.

47. The Coastal Risk Management programme to approve commitment to detailed design (2018) and the FBC and Procurement strategy (2021), were taken through the Cabinet approval process by the Senior Responsible Officer, Director of Planning, Transport and Environment. The decision on any preferred option is reserved for Cabinet and as and when required, as has been the case with the Coastal project, also through Environmental Scrutiny review.

48. In addition, further qualification from third party stakeholders was required e.g. Marine Licence and Coastal Protection Act approval from NRW and Crown Estates land agreements. The risks of the Coastal Defence Scheme are captured in the Directorate and Corporate Risk Register and reported on quarterly.

49. Lesser schemes, such as Flood and Coastal Risk Management Small Scale Works are also subject to WG qualification and governance processes but not necessarily to the same extent. A Business Justification Case will need to be submitted but due to the schemes being less complex in nature and of a lesser value, the full FBC and additional qualification process may not be necessary. However, depending on the value of the spend, an Officer Decision Report may be required to ensure any decisions and commitments are captured appropriately.

50. In all cases, procurement rules are followed, and the approach taken aligned to the scheme being delivered.

51. The Flood and Coastal Risk Management Team also work with:

- NRW and Welsh Water for the investigation and mitigation of pollution incidents / misconnections to watercourses.
- Welsh Water on flood risk schemes that interact / effect their assets.
- South-East Wales Coastal group regarding the Council's Shoreline Management Plan that includes organisations such as NRW / Environment Agency and other Local Authorities along the Severn Estuary.
- The wider River Taff masterplan with NRW / Rhondda Cynon Taff / Vale of Glamorgan.
- South-East Wales Flood Risk Group that includes all other Local Authorities in the area.
- WG and The Coal Authority for the management of coal tips.
- Academic institutions such as University of South Wales / Cardiff University and Bath University.

## 5. Highways

52. The Highway Infrastructure and Operations Teams actively engage with the County Surveyors Society Wales (CSSW). This is a professional association of Local Authority officers who operate at both operational and strategic tiers of local government in Wales. They play a key role in planning and delivering local and national initiatives. The CSSW has members from each of the 22 Local Authorities across Wales and has strong links with the Welsh Government and Welsh Local Government Association. They work closely with the Association of Directors of Environment, Economy, Planning and Transport (ADEPT), the Society of Chief Officers of Transport in Scotland (SCOTS) and the Northern Ireland Road Service.

53. The CSSW has several management groups such as the Main Group which is made up of senior Local Authority officers and the Engineering Committee to which Cardiff's Highway Infrastructure and Operations teams have representation. Several groups have been established to review specific activities and functions which are supported by staff from the 22 Local Authorities, these groups report to the management committee, and they are vital in providing capacity to tackle common issues and in building skills and capability.

54. One of these groups is the CSS Asset Management & Performance Group, a notable example of an output from this group with the support of their term Consultants EXP, is the production of the 'All Wales' approach to the updated Highways Code of Practice. The group developed a new risk-based approach providing guidance for Local Authorities on establishing an effective network hierarchy, and inspection and repair regime. This guidance was used to produce Cardiff Council's Cabinet approved Highway Maintenance Policy document Part C:001 Highway Safety inspections, which has also been subject to an Audit review.

55. An annual programme of major highway improvements is delivered via competitive tender, delivery of these improvement works often requires both internal and external collaboration, liaison, and consultation. The Cabinet approved Highway Asset Management Plan (HAMP-3) describes how the Highway Infrastructure and Operations teams link through to the Council's Corporate Aspiration exploring the opportunity to focus on aligning the HAMP with the wider corporate priorities found in the Stronger, Fairer, Greener vision. In this regard the HAMP seeks to align and integrate to wider corporate strategies and will seek to:

    - Align the strategy with – where possible - developing a low carbon response to Highway management and maintenance.

    - Maximise the integration of sustainable mode use on the Highway.

    - Regard the Highways within the wider context of creating high quality public realm, based on placemaking, greening, accessibility, and design quality – supporting wider economic approach to city and local centre regeneration.

56. Some further examples of collaborative working are:

    - Working with our neighbouring Vale of Glamorgan Council in 2020 delivering a major resurfacing scheme on Culverhouse Cross that benefitted both Cardiff and the Vale carriageways.

    - Obtaining One Planet Cardiff funding for innovative low carbon resurfacing on the A470 North Road in 2022 and carbon negative resurfacing trial utilising Biochar on Splott Road in 2023.

    - North Cardiff Woodlands Restoration Project – The Highway Infrastructure and Operations Public Rights of Way team in collaboration with Parks colleagues, Natural Resources Wales and The Wildlife Trust of South and West Wales have developed a strategy, signed a Memorandum of Understanding and built relationships with user groups to try and co-manage these woodlands for the benefit of all users and nature. The project needs Heritage Lottery funding to implement the shared vision and has reached the full application stage of the Heritage Lottery process which will be submitted in March 2024.

    - Working with Transport for Wales (TfW) for the electrification of the Core Valley Lines, engaging consultants to support Officers. Also, on the specification, procurement and

implementation of the Welsh Bus Data Service system that will provide a real-time bus information all of Wales.

- Monitor, Control and maintain Vale of Glamorgan Council and South Wales Trunk Road Agency traffic signals, CCTV, and Information signs in the vicinity of major strategic network interchanges.

- Liaison with internal colleagues within PTE to assist them to implement the Stronger, Fairer, Greener Strategy, Corporate Plan, Transport White Paper, and One Planet Strategy though projects such as Churchill Way Canal and Cycling corridors thus ensuring that designs and the specification and implementation of highway electrical assets meets these ambitions.

- Work with developers and colleagues in Planning and National Resources Wales to minimise impacts of street lighting on dark corridors in new developments. Also, for various design requirements such as proposed highway structures.

57. Further collaboration is also undertaken within the Civil Parking Enforcement (CPE) Service and the various bodies with which it is involved. These include:

- British Parking Association
- PATROL – Parking and Traffic Regulations Outside London
- Traffic Penalty Tribunal Annual Workshop
- Moving Traffic and Parking Group – collaboration forum between local Authorities and Chipside
- Welsh Government Blue Badge Group
- DVLA - Devolved Power Partners Cluster Meetings

58. The CPE Management Team also attend and contribute to meetings with other stakeholders, e.g. both Welsh Government and Department for Transport have set up user groups on specific topics as they arise and have asked Cardiff Council to attend and sometimes present.

## 6. Bereavement & Registration Services

59. Bereavement & Registration Services continues to provide key life event services to the whole of the Cardiff population and operates across a wide partnership with relevant bodies.

60. The Operational Manager for the service sits in a voluntary role as Chair of the Board of Directors of the Institute of Cemetery and Crematorium Management (ICCM) which is the largest provider of training, advice and information for Cemetery and Crematorium professionals throughout the UK.

61. The OM also engages at quarterly meetings with Welsh Government at the Cross-Party Funerals Group to discuss bereavement issues with Welsh Ministers and other stakeholders including religious groups and funeral directors. In addition to this he also attends the meetings of the Westminster based Burial and Cremation Advisory Group (BCAG) which serves to influence legislative, and standards changes around the whole funeral industry.

62. Bereavement Staff also regularly attend the South Wales Benchmarking group where local professionals discuss service provision, innovative ideas, industry changes as well as sharing key benchmarking data around service costs and fees. This information is relayed back to colleagues as part of the monthly operational team meetings.

63. The Registration Manager attends several groups which includes:

- All Wales Registration Group Meeting (quarterly)
- National Fraud Champions Group (6 weekly)
- South-East Wales Medical Examiners Stakeholder Group (bi-monthly)
- National Qualification Verifier Certification Group (quarterly)

64. The Registration Manager is also the lead officer for Wales for the Digital Registration Service (DRS) and Cardiff Registration Service is about to begin as the Welsh pilot for this project, going live registering deaths via this new service with 9 other English Districts in the next couple of months.

65. We have a Data Sharing Partnership Agreement with Vale of Glamorgan allowing us to share registration information with each other for the benefit of our residents using or services.

66. The services both have a high-level strategy designed to ensure improvements are made for the benefit of our customers but also delivered in line with best practice set through the above national organisations and the legal requirements around these services. The strategies are live documents and updated as required to consider issues such as legislative or budget changes.

67. The strategy is reviewed and updated on a 5 yearly cycle and approved by the Cabinet member for the service, the latest draft is due to be published in April 2024. The strategy documents are formally reviewed and monitored for progress and risk purposes at quarterly Directorate Delivery Plan reviews and operational meetings and any significant issues escalated if required.

**(f) Value for Money**

68. The directorate works with the procurement team to meet the contract standing orders and procurement rules, to ensure open, fair, and transparent procurement. At times, external funding deadlines, can make this challenging. However early engagement and partnership with the procurement is seen as vital to address these challenges.

69. On larger projects the incorporation of quantity surveyors and costs consultants ensures effective controls and benchmarking. For example, recently an O & M contract, for the Lamby Way Solar Farm project has been vital in maximising performance and related income.

70. Utilising the Commissioning and Procurement “Office 365 PowerBi dashboard” the directorate reviews compliance and performance on a quarterly basis. This provides an opportunity to check and challenge areas of no or off contract and forward look for up and coming areas.

**Highways Asset Management Plan (HAMP)**

71. The Cabinet approved (May 2023) Highway Asset Management Plan (HAMP-3) describes how the Highway Infrastructure and Operations teams link through to the Council’s Corporate Aspiration exploring the opportunity to focus on aligning the HAMP with the wider corporate priorities found in the Stronger, Fairer, Greener vision. Also bringing the ‘Highway’ within the wider context of creating high quality public realm, based on placemaking, greening, accessibility, and design quality – supporting wider economic approach to city and local centre regeneration.

72. The HAMP, which includes all associated highway assets such as structures and street lighting, is designed to provide a strategy for investment. It identifies where the demands and

risks are and the approaches, including investment levels, that are required to manage the asset. It is widely recognised that the application of modern asset management practices can enable improved value for money. In these challenging times is it essential that the council embraces these methods and strives to ensure that every penny spent is invested as wisely as possible.

73. When taking the highway asset itself, numerous maintenance approaches are taken to ensure, from a whole life cost perspective, that the life of the asset is maximised. Methodologies such as micro asphalts and surface dressings may be introduced to prolong and preserve the existing surface for as long as possible before a more expensive resurfacing or worst-case scenario reconstruction, become necessary.

74. In addition, localised resurfacing work or patching may be undertaken. This is often a revenue spend and the decision to patch over resurface must be made to ensure that value for money is being achieved. Patching is, in general, a more expensive option due to mobilisation and labour and the associated economies of scale achieved from larger scale works. However, the decision on treatment type must include overall condition of the road, necessity, and the overall improvement each approach will achieve. It is therefore an engineering decision, based on condition, road type use etc, that must be assessed city wide, that will govern the treatments used to ensure that available funds are maximised and providing the best available value for money.

75. The HAMP adopts a steady state investment strategy. This is the finance required to maintain the asset in its currency condition, therefore neither improving nor deteriorating. This is an assessment network wide and not on individual roads or associated assets. The budget requirements to achieve steady state are set out and used in highlighting the corporate financial commitments required. It is however the decision of the Council on the level of investment it makes when considering the many demands of the authority and the economic climate.

76. The Highways team work closely with the corporate finance teams to ensure that the correct level of understanding is achieved and that risks are understood. The balance between revenue and capital spend is also carefully managed to ensure that all works are within the required legislative guidelines.

**(g) Complaints Handling**

77. For the majority of complaints (those relating to Highway Maintenance, Traffic & Transportation and Planning), these once received are logged within our CIVICA Correspondence System and allocated to an appropriate officer responsible for the complaint subject matter. Responses are then considered, signed off and agreed by an Operational Manager before a response is sent to the complaint initiator. This process is similar for Bereavement, Registration & Dogs Home, however, these complaints are logged locally and not within CIVICA. Periodic reports are presented to Directorate Management Team meetings for review purposes and are available in the Directorate Delivery Plan as KPIs/Measures. Below is a table which includes the number of complaints received for PTE during 2021/22 and 2022/2023.

78. *It is anticipated that the Corporate Complaints Process will transfer to the new HALO Correspondence System by the end of January 2024, currently the majority of complaints are managed by Planning, Transport & Environment through an antiquated CICIVA Correspondence System, this transfer will result in a more streamlined and robust way of*

*managing complaints, i.e. through improved automation of complaints receipt, allocation and response. PTE was part of the pilot for rolling out the correspondence elements of HALO in terms of testing and working through the development stages, and in turn was successfully implemented within the directorate and indeed to the degree where bespoke dashboards have been created and implemented for oversight purposes.*

| **Service** | **2021/22** | **2022/23** |
|---|---|---|
| Highway Maintenance | 56 | 54 |
| Planning (including Building Control) | 48 | 28 |
| Traffic & Transportation | 184 | 241 |
| Total | 288 | 323 |
| Number / Percentage of complaints responded to on time | **229 (79.5%)** | **254 (78.6)** |
| Bereavement & Registration | 24 | 11 |
| Dogs Home | 3 | 0 |
| Total | 27 | 11 |
| Number / Percentage of complaints responded to on time | **27 (100%)** | **11 (100%)** |

**Learning from complaints – Planning Transport & Environment**

79. A large number of complaints have previously been received concerning the criteria for abandoned vehicles. Although a vehicle may be parked in a location for a certain length of time, it does not necessarily mean it is abandoned. This can result in complaints being made against the Council as residents are not aware of the legislation that has to be followed before a vehicle can be considered abandoned. This issue has been alleviated to a certain extent with the introduction of a dedicated web page for abandoned vehicles, where all the relevant information (for what is classed as an abandoned vehicle) can be found.

80. In the context of resources and pressures, it is crucial to emphasise the constraints faced by staff. The workload associated with leading on important cross-cutting programmes of projects, managing complicated processes, managing correspondence, and addressing the concerns of the public can be difficult. Furthermore, these challenges significantly increase the likelihood of complaints. When processes are complex, and there are potential delays or misunderstandings, it is natural for stakeholders to express their dissatisfaction. Managing these complaints effectively requires a delicate balance of addressing concerns promptly, maintaining transparency, and demonstrating empathy towards viewpoints from the various parties concerned.

**Learning from complaints – Bereavement & Registration**

81. The service area is still recovering from the pandemic. The register office has moved to registering deaths at Thornhill Bereavement Services Office following public requests to register elsewhere than City Hall and to have direct access to staff in Bereavement Services. This has been widely appreciated by those who wish to access the service and the response has been incredibly positive.

82. 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. Furthermore, Citizenship Ceremonies are also organised by the Register Office.

83. All customers using Bereavement Services receive a questionnaire following their funeral service to gauge satisfaction and seek their opinions on potential improvements to the

service. These comments are logged and monitored and considered for implementation by the management team in the service.

**(h) Planning, Transport & Environment Compliments**

| Service | Number of compliments 2021/22 | Number of compliments 2022/23 |
|---|---|---|
| Planning, Transport & Environment | 84 | 79 |
| Bereavement & Registration | 81 | 121 |
| Total | 165 | 200 |

**Compliment Example**

84. “I would like to personally thank (Council officer) for his help in resolving a problem with new lighting. We found that the new light illuminated our garden and conservatory which made our property insecure. Mr Jones acknowledged our problem, and I am pleased to say that the problem has been rectified in a short space of time. Excellent service, thank you.”

**Legal Implications**

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

**Financial Implications**

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

**RECOMMENDATIONS**

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

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

The following are attached:

**Appendix A - High Level Corporate Risks** (see separate document)
**Appendix B - Key Directorate Risks** (See separate document)