

**Governance & Audit Committee**  
**7<sup>th</sup> December 2021**

**Neil Hanratty**  
**Director - Economic Development**



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# Overview

- Directorate Senior Management Team
- Key Priorities
- Governance
- SMAS Review
- Management Assurance
- Internal Audit Assurance
- External Assurance
- Risk Management
- Value for Money

# Directorate Senior Management Team

- Neil Hanratty                      Director, Economic Development
- Matt Wakelam                      Assistant Director, Street Scene
- Graham Harris                      Head of Recycling and Neighbourhood Services
- Claire Cutforth                      OM - Business, Policy and Performance
- David Pellow                      OM - Neighbourhood Services
- Lucy Payne                      OM - Collections and Trade
- Andrew Williamson                      OM - Prosiect Gwyrdd

# Key Priorities

## Corporate Plan Steps:

- Work as one team, keeping our streets clean:
  - *Deliver a programme of improvement to the Council's Street Scene services through integration, digitalisation and the use of data*
  - *Engage with citizens and businesses through 'Love Where You Live' to encourage volunteering and working in collaboration*
- Make Cardiff a world-leading recycling city
  - *Deliver the recycling services strategy to achieve 70% recycling performance by 2024/25*
  - *Launch an education campaign to promote changes in resident behaviour*

# Governance

- Clear line of sight from Corporate Plan through Team Plans and Personal Reviews, with robust monitoring to ensure compliance.
- Training and compliance team monitor compliance with training requirements – including e-learning and inspections.
- Digitalisation of supervisory inspections enabling closer monitoring of compliance.
- Regular monitoring of tonnages alongside financial data to enable swift identification of anomalies
- Strengthened agenda for BIM's and OIM's – enabling sharing of data.
- Environmental Scrutiny Committee to monitor and challenge performance.
- Directorate meetings to monitor key performance areas such as sickness levels and audit compliance.

# Senior Management Assurance Statement Review

- All Senior Officers actively engage with the SMAS review and feed into the overall ratings, providing rationale for their score.
- Overall, there is a strong / embedded application of governance and control.
- A comparison of this year's SMAS review with last year's SMAS review shows improved performance in some areas, but a dip in the area of compliance (see next slide).

# Senior Management Assurance Statement Review

| <u>SMAS Category</u>      | <u>2021/22 Mid Year Category Score</u> | <u>Comparison with previous year</u> |
|---------------------------|--|--------------------------------------|
| 1: Risk Management        | 5                                      | ↑                                    |
| 2: FGA                    | 4                                      | n/a                                  |
| 3: Compliance             | 3                                      | ↓                                    |
| 4: Programme and Project  | 5                                      | ↑                                    |
| 5: Budget                 | 5                                      | ↑                                    |
| 6: Planning and Decisions | 4                                      | ↔                                    |
| 7: Internal Control       | 4                                      | ↔                                    |
| 8: Fraud                  | 4                                      | ↔                                    |
| 9: Performance            | 5                                      | ↑                                    |

# Senior Management Assurance Statement Review

## Addressing Compliance:

- Measures have been introduced to more closely manage and monitor compliance, which has identified areas of non-compliance – measures include:
  - a. Licensing and permitting compliance is now embedded within the role of Depot Manager.*
  - b. Permits included as an agenda item in management meetings.*
  - c. Ensuring visibility of compliance, and escalation points, by presenting compliance data at monthly RNS Directorate meetings.*
  - d. Development of knowledge base relating to landfill aftercare by supporting officers to obtain industry related qualifications.*
- An action plan has been identified to improve category ratings and will be monitored at the RNS BIM.



# Management Assurance

- Well embedded Performance Management Framework in place.
- Quarterly monitoring and review process for reporting on progress towards Corporate Plan Steps and Measures (KPIs)
- Restructuring of the management team, with new Operational Managers, clearer roles, responsibilities and accountabilities.
- Refocussed BIM and OIM Meetings to use data to monitor performance, effectiveness and compliance.
- Closer monitoring of tonnage information alongside relevant data such as finance.
- Consolidation of Asset Registers, tightening control.
- Service Contract review meetings take place on a 6 weekly basis to monitor contract compliance.

# Internal Audit Assurance

- Officers have a constructive working relationship with the Council's Audit team.
- Some of the audits undertaken in the past 2 years have been initiated at the service's request in order to pro-actively identify issues in areas of high risk.
- 12 audits have resulted in 82 agreed actions since 2019/20:
  - *67 actions are completed.*
  - *13 actions remain outstanding. All are within agreed timescales.*

Note:

*2 outstanding actions represent recommendations raised in the original audit and re-raised in the follow up.*

# External Assurance

Two key external assessors review performance of the directorate:

- 1) BSI Audit  
No non-conformities or observations raised.  
Accreditation successfully retained
- 2) KWT LEAMS Survey  
94.2% of streets surveyed were of a high or acceptable level of cleanliness, against a target of 90%

Note:

*Dedicated experts (compliance and standards champions) play a central role in helping to manage external assurance - a “fresh pair of eyes” in assurance terms.*

*Finalising the selection and recruitment of a Compliance, Standards and Governance Apprentice to support succession planning and to provide further resilience across the directorate.*

# Risk Management

*(See Appendices 1 & 2 of the report for full detail)*

## Corporate Risk (strategic):

- Continued Failure to meet Statutory Recycling Target

**Action:** Waste Strategy and Action Plan going to Cabinet in December 2021

**Action:** Continued working with Welsh Government, WRAP and WLGA

# Risk Management

## Directorate Risk Examples (operational):

- Ensuring adequate HWRC provision

**Action:** Ample capacity in 2 existing sites as booking slots recently increased. Also exploring pop up recycling centres.

- Compliance – particularly in relation to Landfill Permit

**Action:** Working with contractors and NRW to develop improvement plan; greater governance and staff training in this area moving forwards

- Staff Shortages relating to Sickness and National HGV shortage

**Action:** Workforce Plan - development of apprenticeships, offering HGV training, working with agency providers.

**Action:** Sickness Management – regular sickness meetings, compliance officer monitoring actions and producing reports for senior managers.

# Value for Money Examples

## 1. The New Waste Collections Service benefits:

- Increased productivity by moving away from outdated practices and remodelling rounds using technology (efficiency).
- Better customer service, as the new system removes many of the issues associated with Bank Holiday Collections, and gets waste off the streets quicker (effectiveness)
- Reduced overtime costs (economy)

## 2. HWRC online booking and no black bag policy benefits:

- Reduced queuing, improved site safety and social distancing, and increased recycling to 87% (effectiveness and efficiency).
- Better recycling means increased income and reduced disposal costs. Increased controls means fewer traders using household HWRC's and more using Commercial Recycling Centre, again increasing income economy).

# Value for Money continued...

The directorate is continuing to embrace emerging technology to improve customer interfacing:

- hybrid mail printing solutions
- app reporting
- online orders and payments
- online missed collections reporting

These are supporting service savings, improving income management, and improving customer satisfaction.

# Questions?



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