

Pecyn Dogfennau Cyhoeddus

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Am unrhyw ymholiad yn ymwneud â'r agenda hwn cysylltwch â Charlotte Evans
(Rhif Ffôn: 01443 864210 E-bost: evansca1@caerphilly.gov.uk)

Dyddiad: Dydd Mercher, 31 Mai 2017

Annwyl Syr/Fadam,

Bydd cyfarfod **Cabinet** yn cael ei gynnal yn **Ystafell Sirhywi, Tŷ Penallta, Tredomen, Ystrad Mynach** ar **Dydd Mercher, 7fed Mehefin, 2017** am **2.00 pm**. i ystyried materion a gynhwysir yn yr agenda canlynol.

Yr eiddoch yn gywir,

Chris Burns
PRIF WEITHREDWR DROS DRO

AGENDA

Tudalennau

- 1 I dderbyn ymddiheuriadau am absenoldeb
- 2 Datganiadau o Ddiddordeb.

Atgoffi'r Cyngorwyr a Swyddogion o'u cyfrifoldeb personol i ddatgan unrhyw fuddiannau personol a/neu niweidiol mewn perthynas ag unrhyw eitem o fusnes ar yr agenda hwn yn unol â Deddf Llywodraeth Leol 2000, Cyfansoddiad y Cyngor a'r Cod Ymddygiad ar gyfer Cyngorwyr a Swyddogion.

I gymeradwyo a llofnodi'r cofnodion canlynol:-

- 3 Cynhaliwyd y Cabinet ar 12fed Ebrill 2017.

1 - 4

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Correspondence may be in any language or format | Gallwch ohebu mewn unrhyw iaith neu fformat

I dderbyn ac ystyried yr adroddiad(au) canlynol y mae angen penderfyniadau gweithredol arnynt: -

- | | | |
|---|--|---------|
| 4 | Strategaeth Rheoli Risg. | 5 - 38 |
| 5 | A468/A469 Cynllun Gwella Priffordd Cylchfan Pwll-y-pant. | 39 - 52 |
| 6 | Uned 21 Ystâd Ddiwydiannol Lawn, Rhymni - Adnewyddu Prydles i'r Furniture Revival, GC Enterprises (Cymru) Cyf. | 53 - 58 |

I dderbyn ac ystyried yr adroddiad(au) sydd angen argymhelliad y Cyngor:-

- | | | |
|---|---|---------|
| 7 | Cylch Gorchwyl Grwp Cyswllt Bryn Compost. | 59 - 64 |
|---|---|---------|

Cylchrediad:

Cynghorwyr

C.J. Cuss, N. George, C.J. Gordon, Mrs B. A. Jones, P.A. Marsden, S. Morgan, L. Phipps, D.V. Poole a Mrs E. Stenner,

A Swyddogion Priodol.



CABINET

COFNODION Y CYFARFOD A GYNHALIWDYD YN NHŶ PENALLTA, TREDOMEN AR DDYDD MERCHER, 12FED EBRILL 2017 AM 2.00 P.M.

YN BRESENNOL

Y Cyngorydd D.V. Poole - Is-gadeirydd (Llywyddu)

Cynghorwyr:

Mrs C. Forehead (Adnoddau Dynol a Llywodraethu/Rheoli Busnes), N. George (Gwasanaethau Hamdden a'r Gymuned), D.T. Hardacre (Perfformiad a Rheoli Asedau), D. Havard (Addysg a Dysgu Gydol Oes), Mrs B. Jones (Gwasanaethau Corfforaethol), a T.J. Williams (Priffyrdd, Cludiant a Pheirianneg).

Ar y cyd gyda:

C. Burns (Prif Weithredwr Dros Dro), C. Harry (Cyfarwyddwraig Corfforaethol - Cymunedau) ac N. Scammell (Cyfarwyddwraig Dros Dro Gwasanaethau Corfforaethol a Swyddog Adran 151).

Hefyd yn Bresennol:

J. Elias (Rheolwr Gwasanaeth – Anghenion Dysgu Ychwanegol), K. Peters (Rheolwraig Bolisi Corfforaethol), A. Rees (Uwch Swyddog Polisi (Cydraddoldeb a'r Gymraeg)) a C. Evans (Swyddog Gwasanaethau Pwyllgor).

1. CYHOEDDIAD Y DIRPRWY ARWEINYDD

Arweiniodd y Dirprwy Arweinydd, y Cyngorydd D.V. Poole, y Cabinet mewn munud o dawelwch fel arwydd o barch er cof am Arweinydd y Cyngor, y Cyngorydd Keith Reynolds, a fu farw yn gynharach yn yr wythnos.

Talodd y Dirprwy Arweinydd deyrnged i'r Cyngorydd Reynolds, gwas cyhoeddus rhagorol, gydag egni difflino a phenderfyniad i wneud ei orau glas dros y gymuned leol a dros y fwrdeistref sirol.

Roedd pawb oedd yn bresennol yn ymestyn eu cydymdeimlad diffuant i'r teulu mewn profedigaeth ar yr adeg hynod o drist ac anodd hon.

2. YMDDIHEURIADAU DROS ABSENOLDEB

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwyr K. James ac R. Woodyatt a D. Street (Cyfarwyddwr Corfforaethol - Gwasanaethau Cymdeithasol).

3. DATGANIADAU O DDIDDORDEB

Ni chafwyd datganiadau o ddiddordeb ar ddechrau nac yn ystod y cyfarfod.

4. CABINET – 29AIN MAWRTH 2017

PENDERFYNWYD cymeradwyo cofnodion y cyfarfod a gynhaliwyd ar 29ain Mawrth 2017 (rhifau cofnod. 1-6) a'u llofnodi fel cofnod cywir.

MATERION SYDD ANGEN PENDERFYNIADAU GWEITHREDOL

5. ADRODDIAD YMGYNGHORI AR GAU CANOLFAN ADNODDAU ARBENIGOL CYFNOD ALLWEDDOL 3 AR GYFER PLANT GYDAG ANAWSTERAU EMOSIYNOL, YMDDYGIADOL A CHYMDEITHASOL TRECELYN

Rhoddodd yr adroddiad ddiweddiariad i'r Cabinet am y broses ymgynghori ffurfiol a gofynnodd am gymeradwyaeth i fynd ymlaen i Hysbysiad Statudol mewn perthynas â chau'r Ganolfan Adnoddau Arbenigol yn Ysgol Trecelyn.

Nododd y Cabinet y cynhaliwyd ymarferiad ymgynghori rhwng 23ain Ionawr a 15fed Mawrth 2017. O ganlyniad, derbyniwyd tri ymateb i'r ymgynghoriad gan Bennaeth Ysgol Trecelyn, Corff Llywodraethu Ysgol Trecelyn (roedd y ddau'n cefnogi'r cynnig) ac Estyn, a oedd yn cynghori 'Mae'r rhan fwyaf o'r agweddau ar y cynnig yn cael ystyriaeth briodol ac mae'r cynigydd yn gwneud dadleuon cadarn i ddangos sut y byddai cau ganolfan yn arwain at well ddarpariaeth ar gyfer disgyblion sy'n mynychu'r ganolfan adnoddau arbenigol a'r rhai sy'n mynychu ysgol brif ffrwd '. Manylwyd yr ymatebion i'r ymgynghoriad ac ymatebion yr Awdurdod Lleol yn yr atodiad i'r adroddiad.

Gofynnwyd i'r Cabinet i nodi fod Pennaeth Ysgol Trecelyn wedi datgan, mewn ymateb i Estyn, "Hoffwn nodi y cafodd Ysgol Trecelyn ei rhoi o dan oruchwyliaeth i'w monitro yn dilyn arolygiaeth ym Mehefin 2015 a daeth allan o'r oruchwyliaeth ym mis Hydref 2015, hynny yw wedi cyfnod byr o bedwar mis. Nid yw hyn wedi cael ei nodi gan Estyn yn eu sylwadau. "

Yn dilyn ystyriaeth a thrafodaeth, cynigiwyd ac eiliwyd bod yr argymhelliad yn yr adroddiad yn cael ei gymeradwyo. Cytunwyd ar hyn yn unfrydol drwy godi dwylo.

PENDERFYNWYD, am y rhesymau a gynhwysir yn adroddiad y Swyddog, ac o ystyried canlyniad y broses ymgynghori, y dylid cytuno i symud ymlaen i Hysbysiad Statudol.

6. ADRODDIAD CYDRADDOLDEB BLYNYDDOL 2015-2016

Rhoddodd yr adroddiad ddiweddiariad i'r Cabinet am y cynnydd a wnaed yn ystod y flwyddyn ariannol 2015/2016 yn erbyn targedau yng Nghynllun Cydraddoldeb Strategol cyfredol y Cyngor, ac yn gofyn am gymeradwyaeth i'w gyflwyno i'r Comisiwn Cydraddoldeb a Hawliau Dynol a'i gyhoeddi ar-lein.

Nododd y Cabinet fod gan y Cyngor ddyletswydd statudol i gynhyrchu adroddiad monitro blynyddol ar faterion Cydraddoldeb dan y ddeddfwriaeth bresennol.

Mae'r adroddiad yn fanwl iawn o ran pa wybodaeth berthnasol sydd angen ei chynnwys yn yr adroddiad monitro a gwella blynyddol. O ganlyniad, mae'r swm o wybodaeth a gyflwynir er mwyn sicrhau fod y corff rheoleiddio sy'n gysylltiedig (y Comisiwn Cydraddoldeb a Hawliau

Dynol) yn cael eu darparu gyda thystiolaeth lawn o gydymffurfiaeth ac ymrwymiad y Cyngor i'r dyletswyddau statudol hynny.

Yn dilyn ystyriaeth a thrafodaeth, cynigiwyd ac eiliwyd bod yr argymhelliad yn yr adroddiad yn cael ei gymeradwyo. Cytunwyd ar hyn yn unfrydol drwy godi dwylo.

PENDERFYNWYD, am y rhesymau a gynhwysir yn adroddiad y Swyddog, i gyflwyno'r Adroddiad Cydraddoldeb Blyneddol 2015-2016 i'r Comisiwn Cydraddoldeb a Hawliau Dynol a'i gyhoeddi ar y rhyngrwyd.

Cyn cau'r Cyfarfod, diolchodd y Dirprwy Arweinydd, Y Cynghorydd D.V. Poole, i'r Swyddogion a oedd yn bresennol ac i'w gydweithwyr yn y Cabinet am eu holl waith caled a'u hymroddiad yn ystod y weinyddiaeth hon, a dymunodd y gorau i bawb ar gyfer yr etholiadau i ddod. Diolchodd y Prif Weithredwr, yn ei dro, i'r Cabinet am ei berthynas waith cadarnhaol ac effeithiol.

Terfynwyd y cyfarfod am 2.13 p.m.

Cymeradwywyd a llofnodwyd fel cofnod cywir yn amodol ar unrhyw gywiriadau a wnaed yn y cyfarfod a gynhaliwyd ar y 7fed Mehefin, 2017.

CADEIRYDD

Gadewir y dudalen hon yn wag yn fwriadol



CABINET – 7TH JUNE 2017

SUBJECT: CORPORATE REVISED RISK STRATEGY AND GUIDANCE

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES

1. PURPOSE OF REPORT

- 1.1 To present an updated and revised Risk Management Strategy 2017 (and guidance) following changes in legislation.
- 1.2 The Council's Risk Management Strategy was approved by Cabinet in 2013. Since that time the Well-being of Future Generations (Wales) Act 2015 came into place in 2016 and requires Public bodies to view risk in a different way. The Strategy has been revised to reflect this and we are seeking the views and approval of Cabinet prior to its presentation to Audit Committee on the 13th September 2017.
- 1.3 Members have a critical role to play in evaluating the council's risk management arrangements and in particular understanding how the council identifies, manages and, where possible, mitigates or removes risk. Risk Management is crucial to the effective delivery of council services.

2. SUMMARY

- 2.1 The Council Risk Management Strategy was approved in 2013, since that time there has been several changes; one in particular is the introduction of the Well-being of Future Generations (Wales) Act 2015 which requires the Council to change the way it views risk in keeping with the principles of sustainability. As a result the Strategy has been updated for 2017 and is attached as Appendix 1, with accompanying guidance as Appendix 2.

3. LINKS TO STRATEGY

- 3.1 Management of risk is an important element in delivering council priorities and ensuring contribution to the well-being goals set out in the Well-being of Future Generations (Wales) Act 2015 (WBFGA):

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture & thriving Welsh language
- A globally responsible Wales

4. THE REPORT

4.1 At its meeting on the 17th September 2013 Audit Committee accepted the Council's new Risk Management Strategy and supporting Guidelines, which were subsequently approved by Cabinet on the 2nd October 2013.

4.2 The Strategy identified the role of Cabinet in the risk monitoring process as being:

- Approve the Risk Management Strategy.
- Approve the "risk appetite" of the Council i.e. the definition of high (red) risk, medium (amber) risk and low (green) risk as recommended by the Corporate Management Team.
- Approve the risk "appetite"
- Hold the Corporate Management Team accountable for the effective management of risk.
- Monitor the arrangements for managing the Council's Corporate/Whole Authority Risks, through six-monthly progress reports.
- Consider the risks involved when making any decisions; (this has not changed since the 2013 strategy although the way this is considered may change due to the sustainable development principle and the 5 ways of working).
- Receive and review the risk register and resultant action plans for the top corporate risks.
- Make an appropriate allocation of resources to address identified risks and risk management framework.
- Ensure that appropriate and effective communication reporting lines are in place in the context of risk management.
- The Leader approves the Annual Governance Statement, and publishes it in the Annual Statement of Accounts.

4.3 The revised Strategy (2017) does not change the identified role of Cabinet in the risk monitoring process as noted above but rather focuses on the way we view and monitor risk.

4.4 During the three years since the Risk Management Strategy was approved not surprisingly there has been several changes including the introduction of several pieces of legislation. These include the Environment Act 2015, the Social Services & Well-being Act 2014 and latterly the Well-being of Future Generations (Wales) Act 2015 (WBGFA). The themes of these acts are about protection, taking a longer term view and a particular focus on prevention. Also emphasised is a partnership approach to joint problem solving, whether that is sharing resources or intelligence and recognising how we can help each other to meet mutual goals for the benefit of the citizen.

4.5 The WBGFA requires public bodies to apply five ways of working (as demonstration of working to sustainable development principles). One of the five ways is to take a long term (10-25 years) view and to understand the causes of certain issues in order to prevent them occurring. We also need to look at the strengths of an area as a way to maximise potential solutions and to consider the 7 well-being goals in framing our risks.

4.6 This changes the way we view risk. Indeed the WBGFA legislation states in its guidance that a public body will need to change the way it manages risk. Under section 3 of 'where change needs to happen' the Welsh Government Guidance states that:
"There will be long term risks that will affect both the delivery of your services but also the communities you are enabling to improve. Use the well-being goals and five ways of working to frame what risks you may be subject to in the short, medium and long term and together with the steps you will take to ensure they are well managed".

4.7 This means the way we view and rate our risks will alter, for example education attainment may be a medium risk when viewed against year on year attainment. However if lack of attainment is viewed over the long term, it could be argued that having young people leave school without attainment could result in low skilled or low paid employment opportunities which affects individual life chances and provides a barrier to reducing poverty within

communities. Seen in this light, lack of education attainment could now be considered a high risk.

- 4.8 Looking to the long term does not mean short term risks go away or that operational risks for example are less important, rather it means we have to broaden our scope to think of risks to the public, risks to services for those with protected characteristics and recognising strengths of communities as part of solutions to mitigate risk. This needs to be recognised in any strategy, guidance, and training and more importantly in practise going forward.
- 4.9 The main changes to the strategy are the inclusion of the Well being of Future Generations (Wales) Act 2015 and what that means for managing risk, the new Assurance Framework and the change of risk reporting frequency to Cabinet.
- 4.10 One item in the original strategy suggested an additional 'Risk Management Group' as a means of monitoring risk. Following a review a report went to Audit Committee in September 2014 suggesting this group were removed, as it was considered the increased focus on risk identification and monitoring particularly at CMT/Cabinet/Audit Committee/Directorate meant the establishment of another group was unnecessary. Internal Audit carried out a review of the Councils compliance with the Risk Strategy in 2015 and concluded that whilst we adhere to the strategy there were some aspects that were out of date for example the monitoring section had not been updated to reflect the deletion of a 'Risk Management Group' in 2014. The updated strategy now reflects these changes.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 The Well-being of Future Generations (Wales) Act 2015 (WBFGA) identifies a core set of activities that are common to the corporate governance of public bodies where change needs to happen:
- Corporate Planning
 - Financial Planning
 - Workforce Planning
 - Procurement
 - Assets
 - **Risk Management**
 - Performance Management
- 5.2 The Corporate Risk Register incorporates the five ways of working (ICLIP) identified within the sustainable development principle in the WBFGA. These are:
- **Involving** a diversity of the population in the decisions that affect them;
 - Working with others in a **collaborative** way to find shared sustainable solutions;
 - Looking to the **long-term** so that we do not compromise the ability of future generations to meet their own needs;
 - Taking an **integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;
 - Understanding the root causes of issues to **prevent** them from occurring.

6. EQUALITIES IMPLICATIONS

- 6.1 The Local Government Measure 2009 defines fairness and access as one of the criteria that constitutes 'improvement' within the Wales Programme for Improvement.
- 6.2 Promoting equalities is a fundamental requirement of the Future Generations legislation, with specific resonance for meeting the well-being goals of - *A More Equal Wales*, and *A Wales of Cohesive Communities*.

7. FINANCIAL IMPLICATIONS

7.1 There are no financial implications associated with this report.

8. PERSONNEL IMPLICATIONS

8.1 There are no personnel implications associated with this report.

9. CONSULTATIONS

9.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

10. RECOMMENDATIONS

10.1 That Cabinet provides their views on the Corporate Risk Strategy and having done so endorse the updated strategy prior to presentation to the Audit Committee.

11. REASONS FOR THE RECOMMENDATIONS

11.1 To be assured that the Council is managing its risks effectively and complies with the Council's Risk Management Strategy.

12. STATUTORY POWER

12.1 Local Government Measure 2009, Wales Programme for Improvement 2010, Well-being of Future Generations (Wales) Act 2015.

Author: Ros Roberts: Corporate Performance Manager
Consultees: Rob Hartshorn: Head of Public Protection
Nicole Scammell: Acting Director of Corporate Services
Kathryn Peters: Corporate Policy Manager
Richard Harris: Internal Audit Manager
Dave Street: Corporate Director of Social Services
Christina HARRY: Corporate Director of Communities
Chris Burns: Interim Chief Executive
David Roberts: Principal Group Accountant, Social Services
Anwen Rees: Senior Policy Officer, Equalities and Welsh Language
Shaun Watkins: Principal Personnel Officer, Social Services
Gail Williams: Interim Head of Legal Services & Monitoring Officer

Background Papers:
Risk Management Policy & Guidelines

Appendices:
Appendix 1 Risk Management Strategy (Revised) Feb 2017
Appendix 2 Risk Management Guidance (Revised) April 2017

CAERPHILLY COUNTY BOROUGH COUNCIL

RISK MANAGEMENT STRATEGY

Reviewed and Updated 2017



Version	Who approved	Date approved
V1	Cabinet	17 th September 2013
V2	Audit	14 th September 2014
V3 (revision)	Cabinet	7 th June 2017
V3	Audit	13 th September 2017

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Risk Management Strategy 2017

1.0 Introduction

During the three years since the strategy was approved there have been a number of changes to the risk management process, including the introduction of several pieces of legislation. In particular one of the key changes is the Well-being of Future Generations (Wales) Act 2015 which gives a statutory duty for a public body to use the sustainable development principle (defined by 5 ways of working) in our decision making and wider work. These principles encourage us to change the way we view risk as they focus more on long term risks for the citizen with a focus on prevention by identification of root causes.

This strategy has been updated to be more in keeping with the Well-being of Future Generations (Wales) Act 2015 and other organisational changes such as the introduction of the Corporate Governance Assurance Framework.

1.1 Purpose of the Strategy

The purpose of this Risk Management Strategy is to establish a framework for the effective and systematic management of risk, which will ensure that risk management is embedded throughout the Council and makes a real contribution to the achievement of the Council's vision and objectives.

The objectives of this strategy are:

- Define what risk management is about and what drives risk management in the Council.
- Set out the benefits of risk management and the strategic approach to risk management.
- Outline how the strategy will be implemented.
- Identify the relevant roles and responsibilities for risk management within the Council.

Risk management is not a new responsibility, but simply the formalisation of what is already part of normal good working practices. It is important to emphasise, that Risk Management should not be an 'add on'. It is not a separate activity that happens once a year along-side other management activities. Rather, it should form an integral part of the performance management approach of the Council.

There is a detailed Risk Management Guidance document that accompanies this Strategy and gives further detail on how the risk management process should be carried out.

1.2 Approval, Communication and Review of the Risk Management Strategy

This Risk Management Strategy will be endorsed by the Executive and reviewed by the Audit Committee and, following approval, issued to:

- All Members of the Council.
- Corporate Management Team.

- Managers and all staff.
- Key Stakeholders such as local strategic partners.
- Other interested parties such as the Wales Audit Office.

It will be placed on the Council’s intranet and internet site so that all members of staff and the public can have access and easily refer to it.

The strategy will be reviewed internally periodically and following any key changes in Welsh Government policy or inspection regimes, and after any internal reorganisation or changes in policy.

1.3 What Is Risk Management?

Risk can be defined as;

The uncertainty of outcome, whether a positive opportunity or a negative threat, of actions or events.

Risk **Management** can be defined as;

“The management of integrated or holistic business risk in a manner consistent with the virtues of economy, efficiency and effectiveness. In essence it is about making the most of opportunities (making the right decisions) and about achieving objectives once those decisions are made. The latter is achieved through controlling, transferring and living with risks”

ZMMS/SOLACE. Chance or choice? Julv 2000

Risk Management is about identifying and managing those obstacles and weaknesses that could have a negative impact on service delivery and corporate objectives. The holistic approach is vital to ensuring that all elements of the organisation are challenged, including decision making processes, working with partners, consultation processes, existing policies and procedures and, also, the effective use of assets – both staff and physical assets.

Once the obstacles have been identified, the next stage is to prioritise them to identify the key obstacles to the organisation moving forward. Once prioritised, it is essential that steps are taken to then effectively manage those key obstacles/risks. The result is that major obstacles or blockages that exist within the organisation can be mitigated to provide the Council with a greater chance of being able to achieve its objectives.

The risks facing the Council will change over time, some changing continually, so this is not a one-off process. Instead, the approach to risk management should be continual and the risks and the approach to managing them should be reviewed regularly.

It is important to note that risks can also have an upside; their impact can in some cases be positive as well as negative. Risk is also often said to be the flipside of opportunity, so the whole risk management process can also help the Council identify positive opportunities that will take it forward. Risk management needs to be seen as a strategic tool and will become an essential part of effective and efficient management and planning.

1.4 Why Do We Want (and Need) Risk Management?

The purpose of risk management is to identify problems before they occur so that they can be prevented or the opportunities capitalised on. In this regard risk management is part of normal day to day business planning practice and performance management processes and will strengthen the ability of the Council to achieve its objectives by identifying the barriers to achieving those objectives.

Additionally risk management is something that the Council is required to do as noted below:

- CIPFA's 'Delivering Good Governance in Local Government: Framework' is considered by Welsh Government to best represent proper practices in relation to the statement of internal controls which requires an annual governance statement to be produced. The 2016 Guidance for Welsh Authorities 4.3 (1.4) states '*The Welsh Government accepts that relevant bodies will prepare an annual governance statement on internal controls*' and this includes mechanisms to identify high level authority risks
- The Accounts and Audit (Wales) 2014 Regulations Part 3 which look at the responsibility for internal control and financial management state that a sound system of internal control should include (a) *arrangements for the management of risk*

Whilst the above regulations are in relation to financial risk the Annual Governance Statement will often identify other types of risk, whether environmental, demographic, political or operational and this completes our whole risk management structure and process across the Council.

1.4.1 Benefits of Managing Risk

Successful implementation of risk management produces benefits for the Council if it becomes a living tool. These include:

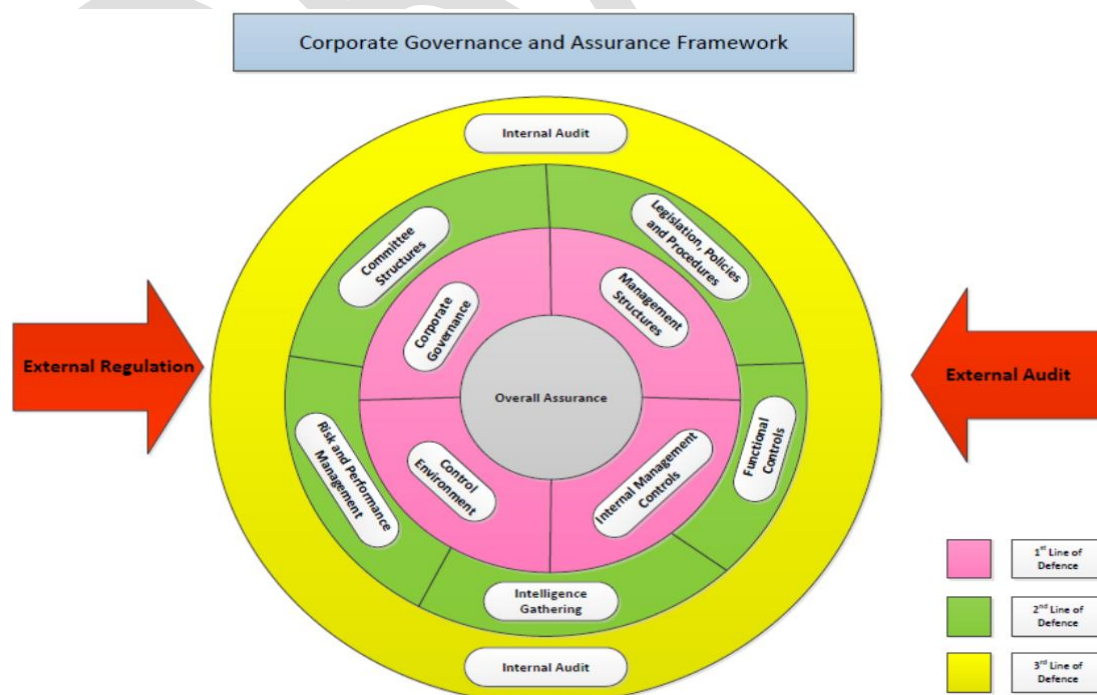
- A consistent approach to the way risks are managed throughout the Council.
- Improved informed decision making – risks reported and considered within Council decision making.
- Becoming less risk averse in innovation (because you understand) and, hence, are more innovative.
- Improved business planning through a risk based decision making process.
- A focus on outcomes not processes.
- Improved performance (accountability and prioritisation) - feeds into performance management framework.
- Better governance - and demonstration of it to stakeholders.
- Helping to protect the organisation.

The main benefit though is that the Council will be more likely to achieve its vision and the key objectives underpinning this, because the barriers are being actively identified and managed.

1.5 Where Does Risk Management Fit?

In short, the answer is “everywhere”. Effective risk management should be applied within all decision making processes at an *appropriate scale*. So, the risk management approach should encompass the Council’s:

- Strategic and Corporate risks, which includes risks that would impact on the lives of citizens and their communities.
- Risks that need to be taken into account in judgment about the medium to long term goals and objectives of the Council.
- Risks that affect the successful delivery of corporate objectives and impact across the Council as a whole.
- Service risks that affect the successful delivery of individual service objectives. They are often built into the service planning process.
- Operational risks that managers and staff will encounter in the daily course of their work.
- Project risks - effective management of risk within projects is key to their eventual success and major projects should have a robust risk management approach.
- Partnership risks - The increasing number and scale of partnership working with public, private and voluntary sector partners exposes us to risk, so significant partnerships should have a robust risk management approach.
- The diagram below shows where risk fits in within the Corporate Governance and Assurance Framework within the 2nd line of defence and shows the connectivity of risk within the wider assurance framework.



This means that a consistent approach from the top to the bottom of the Council is required with a mechanism for risks to be escalated up (bottom up) within the Council whilst the top risks are also explicitly identified and managed (top down).

In practice this means that the Council will carry out risk assessments and develop the following risk registers:

- Corporate Risk Register (CRR) – Whole Authority - the strategic and corporate risks, related specifically to the Corporate Plan and the Well-being Objectives and where appropriate, the Councils contribution to the PSB Well-being Plan.
- Directorate Risk Register (DRR) – high levels risks identified in Service Risk Registers, which require close monitoring or intervention, and/or are common to several services within the directorate (collective control).
- Service Risk Register (SRR) – the risks facing the service and the achievement of its service objectives, as outlined in the Service Business Plan.
- Business Unit Risk Register (BURR) - Depending on the structure and complexity of the service, there may also be a need to have, Business Unit Risk Registers, which feeds into the Service Risk Register.
- Specific Project Risk Registers (SPRR) – These may be required for specific high level projects, particularly those with external partners as identified in section 1.5.2

1.5.1 Risk Management of Projects

A project can be defined as:

“A temporary organisation that is needed to produce a unique and predefined outcome or result at a pre-specified time using predetermined resources” PRINCE2

And, to be effective, managers need to be able to manage three aspects of the project:

- That the project delivers on time.
- That the project delivers to the quality.
- That the project delivers to budget.

It is quite obvious that effective risk management will help this process, and is a requirement of all effective project management approaches. Risks should be identified and managed from the very outset and throughout the life of the project. It is essential that risks are effectively communicated and escalated within the project structure.

All major projects will have their own risk registers relevant to the project objectives and plan. Any significant risks identified should be reported to the relevant officers, group, or committee and included in the relevant service and / or corporate risk register.

1.5.2 Partnership Risk Management

*“A third of those working in partnerships, experience problems, according to auditors. These problems arise when governance and accountability are weak: leadership, decision-making, scrutiny and systems and processes such as **risk management** are all under-developed in partnerships.”* Governing Partnerships, Audit Commission, 2005

Effective risk management of the Council’s significant partnerships is, therefore, essential. This will require clarity of what partnerships are and, in particular, which are significant. Those then require a twin track approach to risk management:

- Outside looking in – the risks to the Council in getting involved in the partnership.
- Inside out – the risks to the partnership achieving its objectives.

The outside looking in risk should be included in the relevant service and / or corporate risk register. Each significant partnership should develop their own risk register relevant to the partnership’s objectives and plan. This should be developed in conjunction with all of the partners. Risk management should be integrated within the governance processes of the partnership.

This will take on greater significance as the Government White Paper ‘Reforming Local Government: Resilient and Renewed (2017) places a much greater emphasis on regional working.

RISK MANAGEMENT STRUCTURE

2.1 Reporting Structure

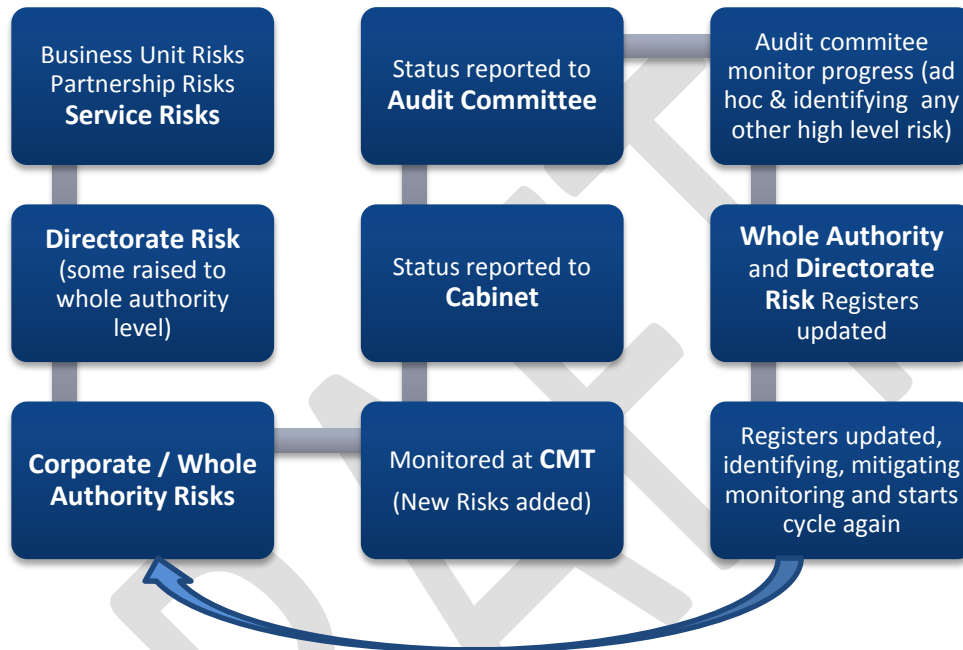
The risk management process is a continuous one and risks can therefore, be reported at any time. However, risks will be formally reported in accordance with the existing business planning process and at least quarterly within the performance management part of senior management team agendas.

Services will therefore, be required to revisit their risks in the light of any change and at least on a quarterly basis. They will report any new risks, identified progress on actions to mitigate existing risks and any changes to the perceived level of risk, as part of quarterly performance management meetings or on an exceptions basis if any significant activity occurs between the quarterly meetings.

Corporate Management Team will consider new corporate risks, changes to existing risks and escalated risks on at least a quarterly basis. They will report on the top corporate risks, the progress on actions to mitigate those existing risks, and any significant changes to the perceived level of those risks formally to Cabinet and Audit Committee on a six-monthly basis (twice a year). Risk reporting is part of service performance scrutiny reporting. Any significant activity occurring between the formal reporting will be considered and reported on an exceptions basis.

Each senior management team from the directorate will act as a filter to assess service risks which need to be escalated for consideration by the Corporate Management Team and also the corporate risks which need consideration at a Service level. This will ensure a consistent top down and bottom up approach and that there is always an up to date view of the key risks facing the Council and how they are being managed.

This Risk Management Strategy should also be periodically reviewed and updated if considered necessary. The reporting structure is represented below:



2.2 Roles and Responsibilities

The following describes the roles and responsibilities that Members and officers will play in introducing, embedding and owning the risk management process:

2.2.1 Cabinet

- Approve the Risk Management Strategy.
- Approve the “risk appetite” of the Council i.e. the definition of high (red) risk, medium (amber) risk and low (green) risk as recommended by the Corporate Management Team.
- Approve the risk “appetite” in light of the new way to view risk through the lens of the sustainable development principles, the short/medium/long term, and the 7 Well-being Goals (Well-being of Future Generations (Wales) Act 2015).
- Hold the Corporate Management Team accountable for the effective management of risk.
- Monitor the arrangements for managing the Council’s Corporate/Whole Authority Risks, through six-monthly progress reports.

- Consider the risks involved when making any decisions; considering the sustainable development principle (5 ways of working).
- Receive and review the risk register and resultant action plans for the top corporate risks.
- Make an appropriate allocation of resources to address identified risks and risk management framework.
- Ensure that appropriate and effective communication reporting lines are in place in the context of risk management.
- The Leader approves the Annual Governance Statement, and publishes it in the Annual Statement of Accounts.

2.2.2 Audit Committee

- Review the effectiveness of the risk management and internal control framework.
- Review the Council's Risk Management Strategy and how it is being implemented.
- Review and challenge the risk register and resultant action plans for the top corporate risks.
- Receive, review and challenge progress in implementing action plans for the Council's key strategic and corporate risks.
- Satisfy themselves' that robust processes and procedures exist and are applied for the management of operational risks, including health & safety risks.
- Participate in mandatory or updated training in the area of risk management.

2.2.3 Scrutiny Committee

- Identify significant risks to be scrutinised in more detail as part of their annual work programme, as appropriate.
- Satisfies itself, that robust processes and procedures exist and are applied for the management of risks within the organisation, including health & safety risks.

2.2.4 Lead Member – Risk Management

The Lead Member for risk management is the Cabinet member with responsibility for performance. Responsibilities include:

- Champions and encourages the use of effective risk management within the Council – to both members and officers.
- Raise awareness of risk management within the Council and to ensure that training and education needs in respect of risk management are identified and addressed.
- Attends the Audit Committee and Scrutiny Committees to report progress on risk management, with appropriate officers.

- Attempts to resolve issues/barriers facing the embedding of effective risk management.

2.2.5 All Members

Members are responsible for governing the delivery of services to the local community and have a responsibility to understand the risks that their Council faces and be aware of how these risks are being managed. One way of gaining assurance that identified risks are being effectively managed is by robust, constructive challenge and scrutiny. Members can also raise 'strategic risks' either through their committee, or by contacting the relevant Director or the Performance Management Unit if they are unsure of where to raise the emergent risk.

2.2.6 Chief Executive and Corporate Management Team

The Chief Executive and Corporate Management Team are pivotal in the promotion and embedding of risk management by managing a culture change within the Council. They are responsible for managing strategic and corporate risks, as well as the service risks in their individual areas of responsibility.

Their key tasks are to:

- Review the Council's approach to risk management and supporting processes and recommend for approval any subsequent changes.
- Recommend the Risk Management Strategy to members.
- Propose the "risk appetite" of the Council i.e. the definition of high (red) risk, medium (amber) risk and low (green) risk.
- Support and promote risk management throughout the Council – with each member ensuring that it works effectively in their own areas of responsibility.
- Actively identify, analyse and profile strategic and corporate risks at least quarterly.
- Determine and prioritise action on strategic and corporate risks, allocating individual ownership of the key risks to appropriate members of Corporate Management Team.
- Each Director will act as lead officer for the risks allocated to them and be held accountable for ensuring that risk improvements are delivered.
- Receive escalated service risks and consider their inclusion onto the corporate risk register.
- Monitor progress of risk arrangements as part of existing performance management arrangements.
- Report quarterly to the Executive on the key risks and their management.
- Ensure that (where appropriate) "key decision" reports include a section to demonstrate that arrangements are in place to manage any risks.
- Ensure that the Council has robust processes and procedures in place that are consistently applied, for the management of operational risks, including health & safety risks.
- The Chief Executive is required to agree and sign the Annual Governance Statement, ensure publication of it in the annual Statement of Accounts.

2.2.7 Officer Risk Champion

The Acting Director of Corporate Services is the Officer Risk Champion and leads on all risk management issues. Responsibilities include:

- Ensuring that a Risk Management Strategy is developed to reflect the changing nature of the Council.
- Ensure that a robust framework is developed to deliver and implement the strategy.
- Inform on a regular basis of developments in the risk management processes and outcomes.
- Champion the process of risk management as good management practice and a valuable management tool.

2.2.8 Heads of Service

Their primary role is to manage service risks by:

- Promoting risk awareness within their service.
- Facilitate risk assessments within their service area to develop a Service Risk Register – linked to the Self-Evaluation and Service Performance Plan.
- Receive escalated Business Unit risks and consider their inclusion onto the Service Risk Register.
- Actively identify, analyse and profile service risks on a quarterly basis - linked to the Service Performance Plan.
- Determining and prioritising action on service risks, allocating individual ownership of the key risks to appropriate managers within their service.
- Escalate the top risks, those above the acceptable tolerance line.
- Incorporating the risk management process into service planning processes ensuring that these are fed into the business plan.
- Promoting and encouraging staff to be open and honest in identifying risks or missed opportunities.
- Ensuring that the risk management process is an explicit part of all major projects and change management initiatives.
- Monitor and report progress of risk management activities as part of existing performance management arrangements.
- Ensure that processes and procedures for the management of operational and Health & Safety risks are consistently and robustly applied within the Service.

2.2.9 Internal Audit

To maintain independence and objectivity, Internal Audit is not responsible or accountable for risk management or for managing risks on management's behalf. Internal Audit will:

- Audit the risk management process.
- Support risk identification and assessment workshops, as appropriate.
- Assess the adequacy of the mechanisms for identifying, analysing and mitigating key risks.

- Provide assurance to officers and Members on the effectiveness of controls.
- The Risk Register will in part drive the Internal Audit Strategic Plan to ensure resources are used on the areas of highest risk and where the need for assurance is greatest. Page 7 of the accompanying 'Risk Guidance' shows the diagrammatical representation of the Councils Assurance Framework'

2.2.10 Project and Partnership Leaders

Project and partnership leaders have a responsibility to ensure that the risks associated with their activity are identified, recorded and regularly reviewed as part of the project management process. Significant risks must be reported and included in the relevant Service Risk Register or the Corporate Risk Register.

2.2.11 All Staff

All staff have a responsibility to:

- Manage risk effectively in their job and report opportunities and risks to their service managers.
- Identify and escalate risks when they arise for example as part of the **corporate safeguarding policy** (information on the intranet).
- Participate in risk assessment and action planning where appropriate.
- Adhere to Council policies and procedures.
- Attend training and development sessions as appropriate.

2.3 Links to Other Business Processes

There is a link between risk management, self-evaluation and service planning, emergency planning and business continuity. However, it is important for the success of risk management that the roles of each, and the linkages, are clearly understood.

Self-Evaluation and Service Plans: The process of Self-Evaluation (SE) is about gaining organisational intelligence as to what is working, what is not and what the risks are. The SE gives a structure of which to test thinking around service judgements and its risks. The management of the risks are then transferred into the Service Plan (SP) to identify mitigating actions and monitor the effectiveness of those actions (although not all risks can have mitigating actions) and this links the SE and the SP to the risk management process. This process should be inclusive of the staff who are often the best placed to action plan for improvement.

Risk Management; is about trying to identify and manage those risks which are more than likely to occur and where the impact on our objectives can be critical or even catastrophic.

Business Continuity Management; is about trying to identify and put in place measures to protect your priority functions against catastrophic risks that can stop your organisation in its tracks. There are some areas of overlap e.g. where the I.T

infrastructure is not robust then this will feature as part of the organisation risk assessment and also be factored into the business continuity plans.

Emergency Planning; is about managing those incidents that can impact on the community (in some cases they could also be a business continuity issue) e.g. a plane crash is an emergency, but may impact on service delivery also.

3.0 CONCLUSION

This strategy sets the foundation for continued integration of risk management into the Council culture. It shows the process being applied across the Council to ensure consistency and clarity in understanding the role and benefits of strategic risk management.

The quarterly reporting and escalation of risks should interlock with the existing quarterly arrangements for performance reporting. The intention being that the management of risks is incorporated into business plans so that reporting on performance naturally reports progress on the mitigation of risks.

The strategy now reflects the longer term view of risk as required by the Well-being of Future Generations (Wales) Act 2015 and to view risk within the sustainable development principles as to how our potential decisions can affect the well-being of the communities we serve.

3.1 Contact details for support or help

For further details on this strategy or how to apply it, please contact Performance Management on 01443 864238 or email www.PMU@caerphilly.co.uk

The Strategy can be read in conjunction with the Risk Guidance. The guidance provides the details in how to apply the strategy at an operational level.

Goal	Description of the Goal
A prosperous Wales	An innovative, productive and low carbon society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change), and which develops a skilled and well-educated population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.
A resilient Wales	A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological resilience and the capacity to adapt to change (for example climate change).
A healthier Wales	A society in which people's physical and mental well-being is maximised and in which choices and behaviours that benefit future health are understood.
A more equal Wales	A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio economic background and circumstances).
A Wales of cohesive communities	Attractive, viable, safe and well-connected communities.
A Wales of vibrant culture and thriving Welsh language	A society that promotes and protects culture, heritage and the Welsh language, and which encourages people to participate in the arts, and sports and recreation
A globally responsible Wales	A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing make a positive contribution to global well-being.

Gadewir y dudalen hon yn wag yn fwriadol

CAERPHILLY COUNTY BOROUGH COUNCIL

RISK MANAGEMENT GUIDANCE 2017

To accompany the Council's
Risk Management Strategy 2017



Version	Who approved	Date approved
V1	Cabinet	17 th September 2013
V2	Audit	14 th September 2014
V3 (revised)	Cabinet	7 th June 2017
V3	Audit	13 th September 2017

A greener place
Man gwyrdach



Implementing Risk Management

This guidance document accompanies the Council's Risk Management Strategy and the current Service Plan Guidance, so reference should be made to all documents.

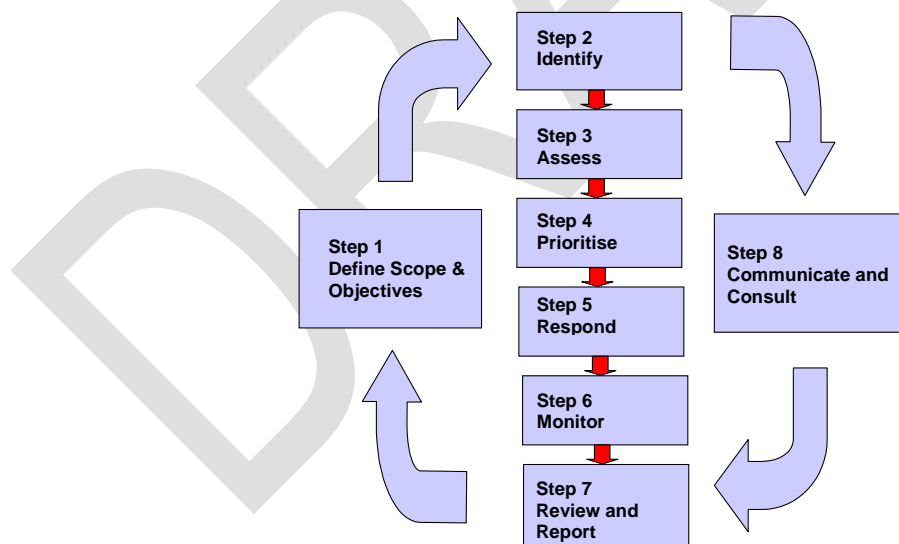
The purpose of this document is to provide practical advice on how to implement the strategy and provide a consistent approach across the Council.

The Risk Management Process

The process for identifying, assessing, managing and monitoring risk is an integral part of the management process. The continual identification and assessment of risk is key to the successful delivery of our outcomes.

The changing external environment and the decisions made in the course of running the Council will continuously alter the status of risks identified and new risks emerging. The risk assessment process should support this on-going and forward-looking identification and assessment of risk as part of running the Council.

An overview of the risk assessment process is shown below:



The risk register is how risks are documented. The current risk register format is included in Appendix 1. Its purpose is to provide a consistent method for capturing risk information. While it should be used at all steps in the process, it is important to make it a relevant and dynamic document. Its main purpose is to help ensure we take action where we need to.

The **Corporate Risk** Register documents the risks to the Council as a whole. In addition, each Directorate, Service and Partnership is required to maintain an up-to-date risk register. It is left to the Service to decide whether it also records its risk assessment and maintains risk registers at business unit level. This will depend on the size, complexity and range of activities in the service.

Project risks should be identified during the Project Initiation Document (PID) stage and, where a project progresses, the Project Manager is required to maintain an up-to-date risk register for that project.

Risk assessment will not be relevant or dynamic if we just go through the motions of writing down lists of risks.

Risk assessments, at all levels, are carried out within the regular business planning cycle, making risk management part of an established process, and ensures that the mitigation actions for key risks are included within business plans. As risk management is integrated with business planning, the existing performance management system is used to measure risk management performance.

Stage 1 – Define Objectives

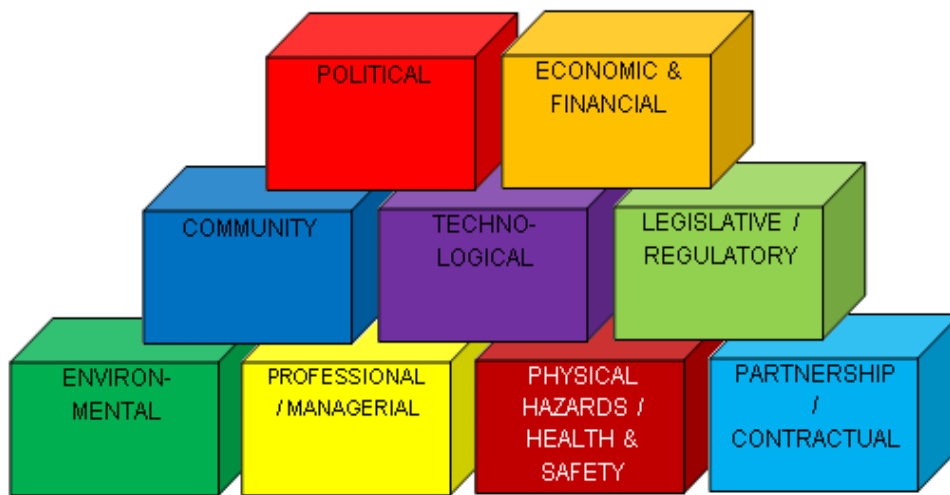
It is important that those involved in the risk assessment process clearly understand the relevant key business objectives i.e. *'what we want to achieve'* in order to be able to identify *'the barriers to achievement'*. The more clearly objectives are defined; the easier it will be to consider those risks that could actually impact on objectives. Objectives must therefore be SMART (Specific, Measurable, Agreed, Realistic and Time bound). It follows therefore that:-

- Corporate and strategic risks are identified and prioritised in relation to the Council's Vision and key objectives.
- Directorate and Service risks are identified and prioritised in relation to the service business plan.
- Partnership and project risks are identified and prioritised in relation to the particular objectives of the partnership / project.
- All of the above are identified within the 5 ways of working (the sustainable development principle).

Stage 2 – Risk Identification

Risk identification attempts to identify the Council's and citizens exposure to uncertainty. To ensure that key risks are identified, the process requires imagination, creativity, ingenuity and wide involvement as well as a methodical framework.

This is probably one of the most important steps of the process, as we can only attempt to manage risks we have identified. To try and achieve a robust risk assessment, it is useful to consider the whole spectrum of risk, which is all of the various areas where the Council or service may face risk. The following categories may be used as prompts to aid the thought process:



These are explained in more detail within Appendix 2 (which gives examples but is not an exhaustive list). Using the prompts, various techniques can be used to begin to identify risks including:-

- Risks in relation the achievement of the national Well being goals and the statutory duty to the 5 ways of working (ICIP) see below
- Brainstorming / workshops
- Horizon scanning (10-15 years) (looking to the future over a longer term.
- Past experience; (needs a mixed group)
- SWOT/PESTLE analysis or similar.
- Exchange of information/good practice with others.
- Or to ask a 'one off' question of staff who do the work – “What happens now?”

It is important to also identify those risks where their contribution to objectives are not totally clear, particularly at operational or service levels where risks to safety and financial loss should also be considered, as should risks around compliance and statutory requirements.

A move away from traditional risk identification is to consider risks that will affect the public or citizen not just internal risks. We need to show how our decisions and risks of those decisions will affect the well-being of future generations in the short, medium and long-term.

No one person holds all the risks, so it is critical to good identification and understanding to ensure that the process is as comprehensive as possible, meaning a mixed group of all grades of staff should identify the risks whatever method(s) are used.

We have a 'duty' to maximise our contribution to the Well-being Goals, so we need to show this in our planning and our risk identification and assessment in understanding how we maximise our contribution to the Well being Goals.

Appendix 4 details the **5 ways of working** and how this will impact risk identification. This is also available within the service planning guidance which is on the intranet.

Risks should be captured whether they are under the Council's direct control or not. For significant partnerships, the risks to the Council as well as the risks to the partnership itself need to be considered.

Risk can also be identified in the service's annual self evaluation where the relevant managers take an evidenced based approach to identify how good (or otherwise) the service is performing. Depending on the evidence and the conclusions reached this process will also identify risks that are emerging.

Finding the right words (which is explained in the Service Plan guidance), to properly define a risk is important so it is clear to someone unfamiliar with the service as to what the risk is. A good guide is that we must be able to look back and say whether the risk event occurred or not. It is advisable to start a description with "The risk that...", or "The risk of.....". Only using a short phrase normally leaves too much room for different interpretation, e.g. "IT failure" compared to "The risk that failure of the outdated system will results in... (then be as specific as possible)". This way risk registers will be clear to those who may not be familiar with the background of the risk when the register is being monitored.

Staff should be able to raise risks with managers at any time to allow for emerging risks so it is not just at a fixed period in time. Alternatively staff or members can contact the Performance Management Unit for advice on identifying risks, contact details are on page 10.

Stage 3 – Assess

Having identified a risk (or vulnerability) it is important to assess the causes or triggers, the potential consequences/impact and how effectively it is being managed. It is the management of the cause(s) and consequence(s) that determines how well a risk is controlled. This, in turn, determines what further actions may be necessary.

The vulnerability is essentially the risk, or the weakness that currently exists. The triggers are what are or could cause the risk to materialise, whilst the consequences are the 'worst likely' chain of events that could occur were the trigger to occur.

When assessing the risk impact and likelihood we do so on a residual basis. The residual risk is the risk as it currently stands with existing controls in place.

Stage 4 – Prioritise Risks

As there is finite time and resources available, not all identified risks can be managed, so following identification and analysis the risks will need to be evaluated to assess the really key ones. The likelihood and severity or impact of each risk is, therefore, assessed within the relevant timeframe of the business plan/project.

Likelihood is assessed by asking how likely it is that the trigger event should occur in the given timeframe.

The challenge for each risk is how much impact it could have or is having on the ability to achieve or deliver an objective or to the public detriment.

Appendix 3 provides risk assessment criteria for corporate risks. The risk assessment criteria used is for guidance and allows the assessment to be more objective enabling risks to be prioritised and escalated consistently.

The risk assessment criteria can be used as a guide for Service, Project, and Partnership risks but will need to be scaled in relation to size, budget and prominence of the Service, Project or Partnership concerned.

When looking at likelihood of occurrence, the following is for guidance:

Likelihood of Occurrence Table	Score Rating
Unlikely to Occur	1
Lower than average chance of occurrence in most circumstances	2
Moderate chance of occurrence	3
Higher than moderate chance of occurrence	4
Expected to occur in most circumstances	5

When looking at the impact of the risk if it were to occur the following is for guidance:

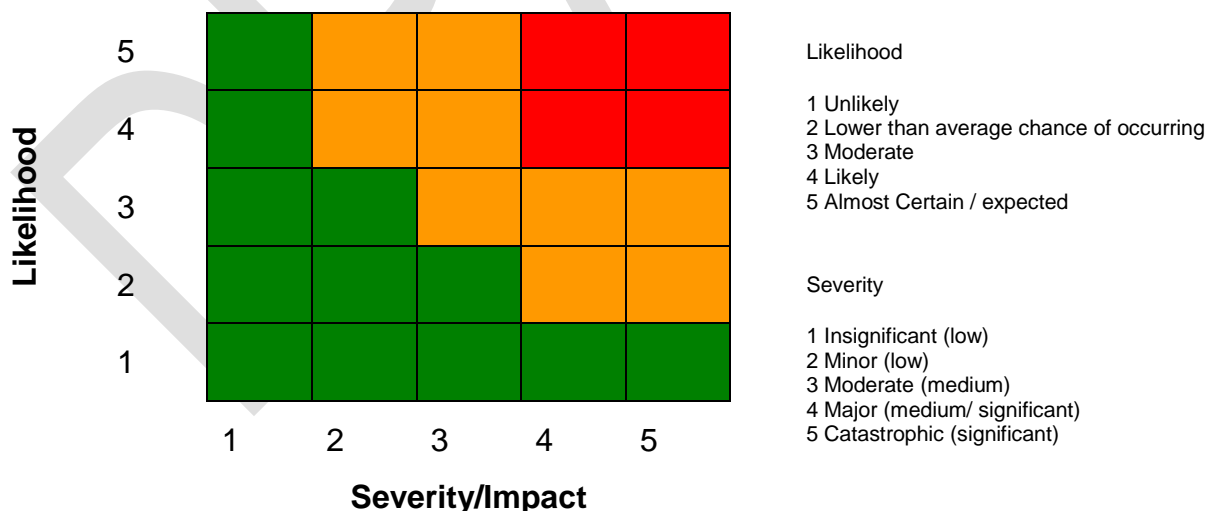
Impact Table (considerations)	Score Rating
<ul style="list-style-type: none"> Operational performance of service area would not be materially affected and the authority would not encounter any significant accountability implications. The interest of stakeholders would not be affected. Public perception of the organisation would remain intact Minor detrimental impact on the well-being of future generations in the short term or missed opportunity to improve the social, economic, cultural and environmental well-being of an area or its citizens, 	1
<ul style="list-style-type: none"> Slight Inconvenience for the performance of the service area. Some accountability implications, but would not affect the ability to meet key reporting requirements. Recovery from such consequences would be prompt. Some minor effects on ability of stakeholders to pursue rights and entitlements. Public perception of the organisation would alter slightly, but no significant damage or disruption. Minor impact of the risk on the well being of future generations but impact could escalate badly for our citizens if not addressed. 	2
<ul style="list-style-type: none"> Operational performance would be compromised and revised planning maybe required. The organisation would have trouble in complying with key reporting requirements. Recovery would be more gradual and require redirection of resources and planning adjustments. Stakeholders would experience considerable difficulty in pursuing rights and entitlements. Adverse public reaction would result in some damage and disruption to the authority. Medium detrimental impact (or missed opportunity) to the social, economic, cultural and environmental well-being of an area or its citizens particularly over the medium term (10 years plus) 	3

<ul style="list-style-type: none"> Operational performance would be severely affected. The organisation would not be able to comply with the majority of its reporting requirements effectively. Recovery from consequences would be highly compromised. Stakeholders would be unable to pursue their rights and entitlements. Public Reaction would result in major disruptions. The well being of future generations would be severely impacted 	4
<ul style="list-style-type: none"> Operational performance would be severely compromised. Accountability implications would result in not being able to meet reporting requirements. There would be significant financial losses. Recovery would be severely compromised. Stakeholders would face severe consequences. Major adverse repercussions would affect large sectors of the authority, its clients and the public. <p>Significant detrimental impact or missed opportunity to improve the well-being of future generations and the social, economic, cultural and environmental well-being of an area and or its citizens, particularly over long term (25 years)</p>	5

It is important when scoring the likelihood and impact of risks that a balanced view is taken. Once the likelihood and impact is scored the risk can be rated and prioritised.

For example if an impact is 3 x 4 Likelihood of Occurrence this would give a score of 12, identifying this as a risk category of *Medium*.

The combination of likelihood and severity/impact provides a risk score allowing risks to be plotted on the matrix and set the risks in perspective against each other.



Those risks towards the top right hand corner with higher likelihoods and impacts (red) are the most pressing with the priority falling as we move down to the bottom left hand corner.

This prioritisation helps us decide where to focus our risk management efforts. Those risks in the green blocks should not be ignored but no significant effort or resource will be used to manage them.

Stage 5 – Respond to Risks

This is vitally important as it is during this stage that improvement actually occurs. There are normally options for improving the management of a risk and they fall into the following categories.

Response	Which means?	Example
Tolerate	Do nothing 'extra' to manage the risk	Where current control measures are sufficient to reduce the likelihood and impact of risk to a tolerable level that there is no added value in doing more, or not cost effective or realistic to try and manage it further. Where risks that are outside of our control and we have no influence over them e.g. Government introducing legislation that has a negative impact on the Council. These risks have to be accepted, but can be monitored.
Treat	Mitigating the risk by managing: <ul style="list-style-type: none"> • the likelihood • the impact • or both • Use the ICLIP model for potential solutions 	The most likely form of management for the majority of risks. Developing SMART actions to manage the likelihood of risks occurring, their impact if they were to occur, or both. Preventative controls are used to mitigate likelihood – to ensure something does not happen e.g. training so that staffs do not do something in the wrong way or firewalls to prevent computer virus attack. Impact is often mitigated with some kind of contingency e.g. alternative service providers or alternative service arrangements.
Transfer	Insurance / outsourcing / partnerships	Insurance, although will not be applicable for most of the risks faced. Outsourcing or entering into partnerships may transfer certain risks, however, will inevitably create new and different risks which have to be managed.
Terminate	Stop doing an activity	Where a risk could be so serious that there is no other option but to terminate the activity that is generating the risk. This can be difficult for a local authority given the number of statutory functions, however, non-statutory services could cease.

Where required, specific actions should be developed with defined ownership and timescales. When the risk assessment is conducted alongside the business planning process, actions should be integrated in the business plan.

In determining what actions are required, it is important to consider the effect these will have on controlling the risk in question, and specifically what change they will make to the impact and/or likelihood of the risk. Consideration should also be given here as to the 'Cost-Benefit' of each control weighed against the potential cost /impact of the risk occurring. N.B. 'cost/impact' here includes all aspects including financial, resourcing, but also reputational.

Stage 6 – Monitoring Risks

The monitoring of risks is a normal management activity and as such should be integrated as part of normal line management responsibilities. Risk Management is not a one off exercise – it needs to be an integral part of the way we work. Progress in managing risks will be monitored and reported so that losses are minimised and intended objectives are achieved.

Monitoring of risks and the actions identified to mitigate them is, therefore:

- part of existing performance monitoring timetables;
- focused on those risks that have been given the higher priority (red).

Service risks and the actions identified to mitigate them will be formally monitored and reviewed as part of quarterly Service Plan Reviews.

Risks identified and assessed as per stage 2 to 4 can be monitored at a Directorate Risk level and each Directorate has a risk register identical to the register in Appendix 1

Stage 7/8 – Review and Report / Communicate And Consult

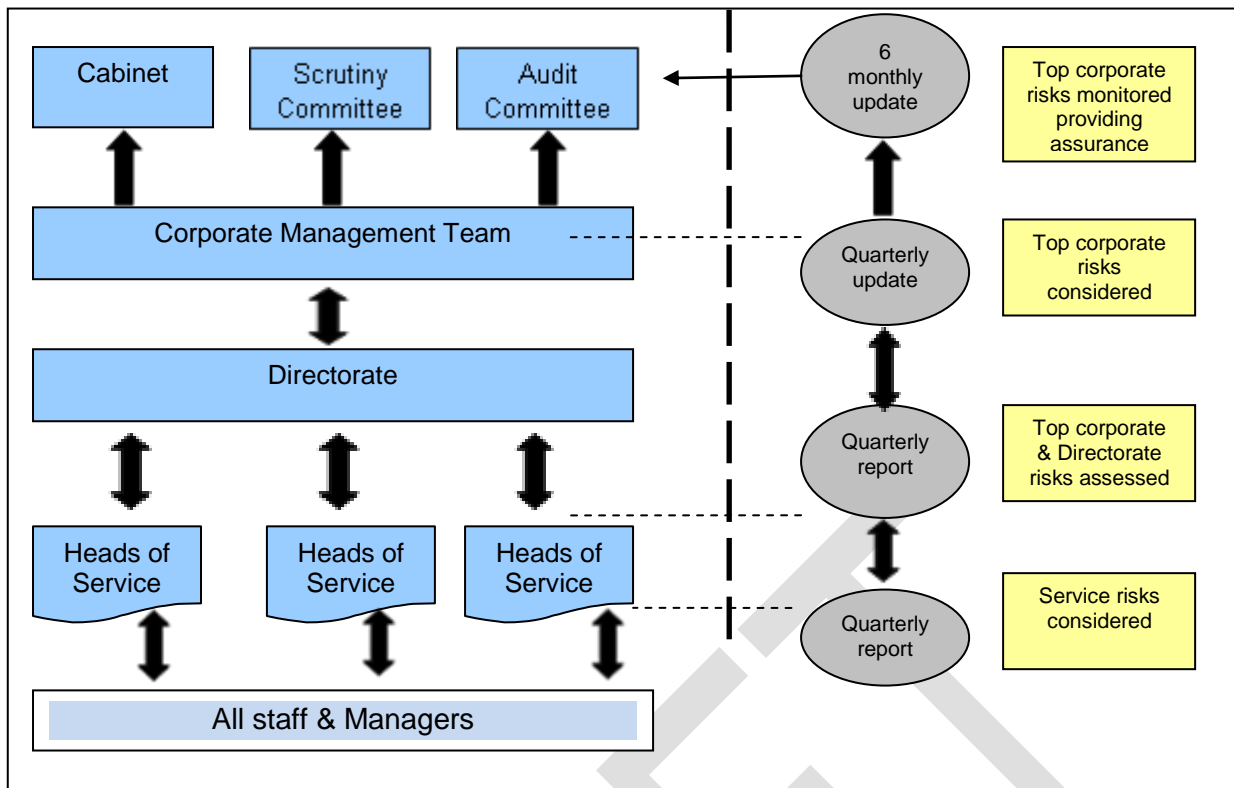
The annual planning process is the point at which outcomes are reviewed and revised and is, therefore, a logical point at which to also review key risks and how they are managed. Service Evaluation and planning presents the opportunity to be forward looking and pro-active in our management of risk. Within the planning process (e.g. business cases, service plans) it is necessary to answer three main questions:

- Have we considered what we need to do in the year(s) ahead to deliver our plans, and the risks of not doing these things? (the opportunities)
- Have we considered what might go wrong, with significant impact, to the well being of our citizens, and how we would spot it in a timely manner?
- Have we considered external risks and identified those it is realistic for us to plan for? (this can be identified in section 7 of the self-evaluation)

Discussion, review and reporting of risk should take place at regular management and team meetings. Key risks and action progress should be reviewed at these meetings as determined by the severity of the risk.

Regular internal reports enable managers and Members to be fully aware of the extent of the risks and the changes occurring to them. In practice, risks will be reported as part of the performance management and business planning processes.

Internal reporting arrangements provide different levels of the Council with the most appropriate information. The reporting process is explained in detail in the Risk Management Strategy but is summarised below:



Directorates and Performance Management will act as “gatekeeper” for those risks being pushed up from Service and Directorate Risk Registers to the Corporate Risk Register and risks pushed down from the Corporate Risk Register to Directorate or Service Risk Registers. This will ensure consistency and identify common themes.

New risks identified should be added to the relevant risk register as soon as they have been identified. Where this is a significant (red) risk it must be reported on an exception basis through the relevant management structure and not left until the next routine round of reporting.

The likelihood and impact of each risk must be regularly reviewed in the light of the effects of control measures or other factors affecting the risk. Where the control measures are successful the risk score should reduce but where the control measures are ineffective or inadequate the risk score could increase. Under such circumstances the existing mitigation action must be reviewed and consideration given to introducing additional control measures.

Where a previously identified risk is no longer a risk to the objectives, consideration should be given to removing the risk from the relevant risk register. This should only be done once the risk has been sufficiently scrutinised as part of the relevant performance management or member review.

The updated CMT risk register will go on the intranet following its update.

All aspects of the risk management process will reviewed at least once a year.

Training materials and training workshops are available from the Performance Management Unit as our templates for monitoring specific risk actions and improvements on 01443 – 864238 or www.pmu.gov.uk

Appendix 2 – Categories of Risk

<p style="text-align: center;">Political</p> <p>Arising from the political situation</p> <ul style="list-style-type: none"> • Change of Government Policy • Political make-up • Election cycles • Decision-making structure • Abuse (e.g. fraud, corruption) • Reputation management 	<p style="text-align: center;">Economic & Financial</p> <p>Arising from the economic situation and the financial planning framework</p> <ul style="list-style-type: none"> • Treasury – investment, reforms • Demand predictions • Competition and the effect on price • General/regional economic situation • Value/cost of capital assets 	<p style="text-align: center;">Community</p> <p>Demographics, social trends and meeting customer needs or expectations</p> <ul style="list-style-type: none"> • Residential patterns and profile • Social care • Regeneration • Customer care • Quality of community consultation
<p style="text-align: center;">Technological</p> <p>Arising from the ability to deal with pace of change, and the technological situation</p> <ul style="list-style-type: none"> • Capacity to deal with change/advance • State of architecture • Obsolescence of technology • Current performance and reliability • Security and standards • Failure of key system or project 	<p style="text-align: center;">Legislative/Regulatory</p> <p>Arising from current and potential legal changes and/or possible breaches and the organisation's regulatory information</p> <ul style="list-style-type: none"> • New legislation and regulations e.g. Well being of Future Generations (Wales) Act 2015 • Exposure to regulators • Legal challenges/judicial review • Adequacy of legal support 	<p style="text-align: center;">Environmental</p> <p>Concerned with the physical environment</p> <ul style="list-style-type: none"> • Type of environment (urban, rural, mixed) • Land use – green belt, brown field sites • Waste disposal and recycling issues • Impact of civil emergency (i.e. flood) • Traffic problems, planning & transport • Pollution, emissions, noise • Climate change & energy efficiency
<p style="text-align: center;">Professional/Managerial</p> <p>The need to be managerially and professionally competent</p> <ul style="list-style-type: none"> • Peer reviews (e.g other authorities) • Stability of officer structure • Competency and capacity • Management frameworks and processes • Turnover, recruitment and retention • Profession-specific issues • Morale / sickness / productivity 	<p style="text-align: center;">Physical Hazards and Health & Safety</p> <p>Physical hazards associated with people, land, buildings, vehicles and equipment</p> <ul style="list-style-type: none"> • Health, safety and wellbeing of staff, partners and the community • Accident and incident record keeping • Maintenance practises • Security of staff, assets, buildings, equipment • Nature and state of asset base 	<p style="text-align: center;">Partnership/Contractual</p> <p>Partnerships, contracts and collaboration</p> <ul style="list-style-type: none"> • Key partners - public, private & voluntary • Accountability frameworks and partnership boundaries • Large-scale projects with joint ventures • Outsourced services • Relationship management • Change control/exit strategies • Business continuity • Partnerships – contractual liabilities

Appendix 3 – Risk Assessment Criteria

LIKELIHOOD	Event is expected to occur or occurs regularly	Monthly or more frequently	Almost Certain	5						
	Event will probably occur	Annually	Likely	4						
	Event may occur	1 in 2 years	Possible / Moderate	3						
	Event could occur	1 in 3 years	Unlikely	2						
	Event may occur in certain circumstances	1 in 10 years	Rare	1						
					1	2	3	4	5	
					Insignificant	Minor	Moderate	Major	Catastrophic	
<div style="border: 1px solid black; padding: 5px; width: fit-content;"> A detailed impact description is available in the Council Service Plan guidance 2017 </div>					Service / Operations	No impact to service quality, limited disruption to operations	Minor impact on service quality, minor service standards are not met, short term disruption to operations	Significant fall in service quality, serious disruption to service standards	Major impact to service quality, multiple service standards not met, long term disruption to operations	Catastrophic fall in service quality and key service standards are not met, long term catastrophic interruption to operations
					Reputation	Public concern restricted to local complaints	Minor adverse local / public / media attention and complaints	Adverse regional or national media public attention	Serious negative regional or national criticism	Prolonged regional & national condemnation
					Financial	Cost (£)	< £50k	£50k - £350k	£350k - £1m	£1m - £5m
					SEVERITY/IMPACT					

Appendix 4 – The Sustainable Development Principle



Long Term – We must take account of the importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs especially where things done to meet short term needs may have detrimental long term effect. The intended effect of the long term requirement is that you are aware of, and address, the well-being of current and future generations whilst addressing the needs of the people you currently serve. Taking a long term view (up to 25 years) changes how we **view and score risk**. Specific examples are available in the Service Plan Guidance.



Integration - How our well-being objectives may impact upon each of the well-being goals, or on the objectives of other public bodies. The purpose of taking an integrated approach is to ensure that you recognise the interdependence that exists between the national and local well-being objectives. This interdependence also applies to **risk identification** (cause and effect) and to solutions that support other peoples goals.



Prevention - How acting to prevent problems occurring or getting worse may help public bodies meet their objectives. We must deploy resources to prevent problems occurring, or getting worse may contribute to meeting the body's well-being objectives or another body's objectives. Understanding the underlying causes of the problems people and communities face can help us find different solutions, intervene early and prevent problems from getting worse or arising in the future. This connects to any **mitigation actions** that we put in place to mitigate **risk** or build on opportunities



Collaboration - Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives. The purpose of taking a collaborative approach is to recognise the different roles that public bodies play in tackling long-term challenges, and to ensure actions (**to mitigate risks or create opportunities**) are complimentary and maximise their collective impact.



Involvement: The importance of involving other persons with an interest in achieving the well-being goals and of ensuring those persons reflect the diversity of the population: Effective involvement of people and communities is at the heart of improving well-being currently and in the future. It recognises the importance of involving people in decisions that affect them. This is turn can make sure actions **to address risk** are the right ones.



CABINET – 7TH JUNE 2017

SUBJECT: A468/A469 PWLLYPANT ROUNDABOUT HIGHWAY IMPROVEMENT SCHEME

REPORT BY: HEAD OF ENGINEERING SERVICES

1. PURPOSE OF REPORT

- 1.1 To seek Cabinet approval to utilise funding for and progress the construction of the A468/A469 Pwllypant roundabout highway improvement scheme.

2. SUMMARY

- 2.1 The A468/A469 Caerphilly Northern Bypass is the main artery linking Caerphilly and settlements in the north of the borough to the trunk road network (A470, M4) and Cardiff. It is already heavily overloaded at peak periods and all junctions are at, or in excess of, capacity at peak times. The Pwllypant roundabout is the busiest node on this section of the strategic highway network and in the whole of the county borough.
- 2.2 The proposed Pwllypant roundabout highway improvement will increase capacity on the roundabout such that it will not be overcapacity at the completion and will perform satisfactorily taking in to account known proposed developments (identified through the LDP review process) up to 2031. It would also improve journey time reliability for bus services and encourage public transport use and reduce traffic travelling through Caerphilly town thereby improving air quality.
- 2.3 The scheme will be funded from developer contributions (S106) and Welsh Government grant funding. It is intended that construction will commence in September/October 2017 and take about twelve months to complete.

3. LINKS TO STRATEGY

- 3.1 The proposed scheme contributes to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2015:
- A prosperous Wales,
 - A healthier Wales,
 - A more equal Wales,
 - A Wales of cohesive communities, and
 - A globally responsible Wales.
- 3.2 To work towards the Council's corporate objective of improving peoples' living environment through targeted actions, regulation, information and advice.

- 3.3 Engineering Services Division Objective: To provide safe and efficient transport and land drainage infrastructure through quality services delivered by means of cost effective management, maintenance and improvement of the networks.
- 3.4 Engineering Services Division Objective: To work towards a safer environment through positive measures to reduce road accidents and particularly by protecting and providing for vulnerable road users.

4. THE REPORT

Background to the scheme

- 4.1 The adopted LDP (2010) that covers the period up to 2021 identifies a number of sites with potential for development for housing. A traffic analysis was undertaken to identify the highway improvements necessary to mitigate against the traffic generation from these proposed sites. This resulted in the Caerphilly Basin highway obligation Supplementary Planning Guidance (SPG) for the following improvements in and around Caerphilly town:
- A468/A469 Pwllpant Roundabout - Network efficiency junction improvement
 - A468/A469 Trecenydd Roundabout - Network efficiency junction improvement
 - Tafwys Walk - Junction Improvement
 - Piccadilly - Gyratory Improvements
 - A468 Bedwas Bridge Roundabout - Network efficiency junction improvement
 - A468 Pwllpant to Bedwas Bridge - Network efficiency improvements
 - The A468/A469 Trecenydd roundabout improvement was delivered in 2012/13 and is the only improvement delivered so far.

The Pwllpant Highway Improvement Scheme

- 4.2 The A468/A469 Caerphilly Northern Bypass is the main artery linking Caerphilly and settlements in the north of the borough to the trunk road network (A470, M4) and Cardiff. It is the point where the A468 from the east, A469 from the north and A468/A469 from the south merge and is the busiest junction in the county borough. The junction lies on the strategic highway network within Caerphilly County Borough and the roundabout handles significant volumes of traffic throughout the day, approximately 37,000 AADT flow (Annual Average Daily Traffic), and is important for commuter traffic to Cardiff and connectivity to the trunk road network (A470/M4). It has been identified in the Council's adopted LDP and LTP and is the highest priority highway scheme yet to be delivered.
- 4.3 The A468/A469 Caerphilly Northern Bypass is already heavily overloaded at peak periods and all junctions are at, or in excess of, capacity at peak times. The current design of the roundabout inhibits the efficient functioning of this key junction. The roundabout is not of a standard to adequately cope with the current level of traffic using the strategic route. It has significant negative impacts on the village of Llanbradach.
- 4.4 This results in problems of congestion and extensive queuing during peak periods, and limits the efficiency of the strategic highway network. For example during the morning peak, traffic queues are experienced on the Lower Rhymney Relief Road, as a result of congestion at Pwllpant Roundabout affecting southbound traffic travelling towards Cardiff. During peak periods queuing traffic stretches back to previous junctions on the network, e.g. Coed-y-Brain and Wingfield roundabouts (the latter is a distance of approximately 2km), this then has knock-on impacts to the functioning of these junctions.
- 4.5 Extensive queuing on all approaches to the roundabout during peak periods leads to unreliable journey times for all road users, including commuters, freight/ industrial traffic and public transport. Congestion at the roundabout impacts on accessibility and transport links between the trunk road network (A470/M4), key settlements and employment areas in Cardiff and Caerphilly and settlements to the north i.e. in the Heads of the Valleys area, which negatively impacts on measures to encourage economic development and regeneration.

- 4.6 Problems of congestion and queuing traffic at the junction results in through traffic diverting through Caerphilly town centre, which contributes to the existing air quality problems (there is a designated Air Quality Management Area (AQMA) within Caerphilly town centre), reduces the attractiveness of the town centre for pedestrians and cyclists and has impacts on journey time reliability of town centre bus services. The level of through traffic diverting through the town centre has a negative impact on measures to encourage active and sustainable travel in and to Caerphilly town centre.

Funding

- 4.7 It was the intention that all improvements, including Pwllypant Roundabout, would be wholly funded from S106 developer contributions under the SPG, from housing development within the Caerphilly Basin area. However, the introduction of the community infrastructure levy (CIL) in 2014 meant the SPG came to an end and insufficient funds were amassed to fully fund the Pwllypant scheme.
- 4.8 The current estimated funding required to deliver the scheme is £5.305m (based on the expired preferred bidder's construction tender cost of £3.48m). The current total of Caerphilly Basin S106 funds available is £3.593m, leaving a shortfall of £1.712m to find. Approximately £420k of WG funding (under Metro Phase 1) has been utilised to complete the design works and develop the scheme to the current position.
- 4.9 A bid for Welsh Government (WG) Local Transport Funding (LTF) in 2017/18 was submitted for the maximum £1.5m available and has been successful. The net projected shortfall of £212k can be met from uncommitted WG funding from the Ysbyty Ystrad Fawr (YYF) highway improvement scheme (current balance £700k after adjusting for other commitments against this funding). WG approval has been granted to proceed on this basis.

The funding profile for the project is detailed in the table below:

	Year 1 2017/2018 (£,000)	Year 2 2018/2019 (£,000)	Year 3+ 2019+ (£,000)	Total (£,000)
Design & accommodation works	55	30	-	85
Construction	1525	2985	-	4510
Project Management	20	20	35	75
Monitoring & evaluation	-	20	30	50
Post construction (e.g. part 1 claims)	-	185	400	585
Totals	1600	3240	465	5305

Risk

- 4.10 Officers have undertaken a risk identification exercise as part of the scheme development and a risk register has been produced as a result. Currently, £400k of risk has been allocated for unforeseen risks over the life time of the scheme. The majority of this risk is likely to arise during the construction period. This sum is incorporated within the table above.
- 4.11 Officers have identified areas where the scope of the works could be reduced or value engineered, to a value in excess of £100k, without affecting the overall aims and benefits of the scheme. These will be discussed with the contractor prior to awarding a contract.

- 4.12 The costs associated with post construction elements of the scheme such as part 1 claims have been estimated based on the results of a noise survey and subsequent noise model. It is not possible to fully define these costs at the present time, but it is considered that realistic costs have been allocated based on historic scheme cost outturns.
- 4.13 There is a risk that the costs could increase from the retendering exercise, especially in light of the recent UK government budget announcements and the fact that fuel prices are beginning to rise again.

Key Features

- 4.14 Please see attached plan of proposed scheme layout in Appendix 1.
- 4.15 The scheme incorporates the following features:
- Signalisation of the roundabout (i.e. full time traffic lights as a result of the introduction of a controlled pedestrian crossing facility on the arm to/from Trecenydd roundabout).
 - Incorporation of a pedestrian crossing facility on the East Bound lane of the A468/A469 within the traffic control signalisation (formalising the existing uncontrolled crossing). For this reason the whole of the traffic signal system for the roundabout will need to operate continuously.
 - New footway linking the existing pedestrian over bridge on the A468/A469 to the footway on Pontygwindy Road.
 - A469 from Llanbradach – additional filter lane and extension to existing filter lanes.
 - East Bound lane of A468/A469 dualled approach to roundabout and dualled exit from roundabout.
 - Pontygwindy Road - additional filter lane and extension in length to existing filters.
 - A468 Bedwas Arm - dualled approach and exit to roundabout.

Benefits of the Scheme

- 4.16 The existing roundabout is currently overcapacity at peak periods and the proposed improvements will increase capacity on the roundabout such that it will not be overcapacity at the completion and will perform satisfactorily taking in to account known proposed developments (identified through the LDP review process) up to 2031.
- 4.17 The scheme as detailed in the preceding key features section will improve the capacity of the junction and improve traffic flow along this strategic route, which will improve efficiency, making better use of the existing highway network and future proof the junction.
- 4.18 There are 18 bus movements each hour on a weekday and the current traffic levels in the morning and afternoon peak impact significantly on the ability to maintain reliable bus services, particularly as some of the services are on key strategic routes (for example service 26 between Blackwood and Cardiff and service 50 between Bargoed and Newport). The proposed scheme would improve journey time reliability for bus services and encourage public transport use, accessibility to town centre facilities and social inclusion.
- 4.19 Greater control of the junction will better manage traffic demand and improve safety.
- 4.20 The scheme will lead to a reduction of traffic travelling through Caerphilly town centre resulting in improved accessibility and attractiveness of the town centre and environmental improvements and relief in terms of air quality, pedestrians and cyclists.

Programme

- 4.21 In order to meet the WG requirement to spend the £1.5m LTF funding by April 2018, the works need to commence in September/October 2017. In order to meet this timescale, procurement for the construction contract needs to be progressed ASAP alongside advance preparatory and environmental works (i.e. slow worm maintenance works, a bat survey, and

orders for diversion of statutory undertakers' equipment). The scheme has a planned duration of 52 weeks.

- 4.22 In order to meet the required timeframes to achieve the LTF funding spend by March 2018 a decision on the content and recommendations within the report is required by Cabinet. As confirmation of the LTF funding has only recently been received from WG this report has not previously been included on the forward work programme. However, any delay to the procurement process would mean that this funding would not be fully utilised. Unspent sums would be lost leaving a shortfall and jeopardising delivery of the scheme. The WG LTF funding is £1.5m and notification of award of this funding was only received on 22 March 2017.

Wider Highway Network Considerations

- 4.23 Officers have been liaising with neighbouring local authorities and WG about proposed highway works in the area and what mitigation is possible to minimise the impact on road users as significant disruption is anticipated.
- 4.24 WG proposals for highway improvements to J28 of the M4 and improvements to the A467 Bassaleg Roundabout have recently begun. Officers will continue to liaise with neighbouring local authorities and WG to review ongoing and planned works and minimise any possible disruption.

Communication

- 4.25 To date CCBC has given three formal briefings to Councillors within the Caerphilly Basin area (Cllr T Williams, who at the time was Cabinet Member for Highways, Transportation & Engineering, attended all three briefings) to enable them to comment on the proposed scheme layout and to agree Public Information day proposals. Not all councillors attended these meetings. In addition to this, Councillors within the Caerphilly Basin area have received a number of email updates regarding feasibility works, Public Information Day feedback etc. Local Community Councils, Fire, Police and NHS ambulance representatives have also been sent the scheme proposal drawings.
- 4.26 Since the recent local government elections, briefings with the new Councillors and Cabinet Member have since taken place.
- 4.27 A briefing has been given to the Caerphilly Town Centre Management Group to highlight details of the proposed scheme to Caerphilly Town Centre businesses.
- 4.28 Three Public Information Days were held in January and February 2015 in Caerphilly Library, Pwllypant community centre and Penyrheol community centre to enable residents and local businesses to view and comment on the scheme proposals. These were advertised widely including letter drops to residents within the vicinity. Plans were also left in Llanbradach community and Trecenydd community centres.
- 4.29 Articles drawing awareness to the scheme proposals have been included in several editions of Newline, local newspapers and Social Media. There is a dedicated link to Pwllypant roundabout improvement on CCBC's website. This will be maintained and updated throughout the construction works.
- 4.30 Formal feedback regarding the proposed scheme layouts was received via a snap survey that was published on CCBC's website during February 2015. Responses from visitors who attended the three Public Information Days and left completed feedback forms were also input into the online survey. In total 60 responses to the survey were received of which 85% were supportive of the scheme, not all people responding to the survey left formal responses. A summary of the feedback from the snap survey is contained in Appendix 2.

Following formal briefings to Councillors within the Caerphilly Basin area, a controlled pedestrian crossing was added to the A468/9 arm. Caerphilly Basin Councillors have been supportive of the scheme proposals to date.

Feedback from the Caerphilly Town Centre Management Group was limited but concerns were raised regarding disruption to businesses within the Town during the construction works.

Only Gwent Police from the emergency services have provided formal feedback. They are supportive of the scheme.

- 4.31 The appointed Contractor will be required to develop and implement a communication strategy/plan (this was previously part of the quality submission for the tender), to proactively engage with the local community and keep them and road users informed of progress and developments. This will require close liaison with Officers and the Council's Communications team.

Access and Traffic Management issues

- 4.32 It is intended to hold an ECE (Early Contractor engagement) briefing with prospective contractor organisations to highlight the need to minimise disruption to motorists, residents and businesses in the area and to stress the need for suitable traffic management proposals.
- 4.33 Increasingly, to avoid the long queues on the A469, motorists are diverting off the A469 at the Wingfield roundabout and travelling through Llanbradach and re-joining the A469 at the Coed y Brain Roundabout. CCBC's traffic management section have met with Llanbradach Councillors and have already implemented additional waiting restrictions at certain key points within the village as a measure to try to prevent congestion forming within Llanbradach.
- 4.34 It is recognised that queues during the construction works will temporarily increase which may encourage motorists to continue to divert through Llanbradach. As a result CCBC's traffic management section is currently trialling additional traffic calming measures within the village of Llanbradach and on the approach to the Coed-y-Brain roundabout.
- 4.35 To ensure the safety of motorists and workers during construction road closures may be required on Pontygwindy Road and Heol Pwllypant for a period of up to 6 weeks. When the final surfacing is laid, staggered road closures may be required on all roads approaching and exiting from the roundabout. The specific road closure requirements will depend on the construction methods proposed by the contractor awarded the works and will be subject to agreement from CCBC's traffic management section.
- 4.36 Officers have sought approval from WG to utilise matrix signs on the A470 to inform motorists of delays due to construction works at Pwllypant Roundabout. In addition to this, as part of the communication plan and temporary traffic management measures, signs at strategic points throughout CCBC will be placed where motorists can then choose to alter their journey route and advising of other works where possible.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 This report contributes to the Well-being Goals as set out in Links to Strategy above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act in that all strategic highway improvements are contained in the LDP and LTP.
- 5.2 The LDP places great emphasis on sustainable development and seeks to protect the environment for both the current and future needs of the population, ensuring that there is a viable future for the county borough's towns and villages. As part of the LDP process the Council engages with residents, service users, stakeholders and partners. The LDP is subject to independent Strategic Environment Assessment and Sustainability Appraisal which balance economic, social and environmental issues.

6. EQUALITIES IMPLICATIONS

- 6.1 There are no equalities implications to this report that have not been considered or would adversely affect any individual or group who fall under one of the protected characteristics or wider issues as shown in the Council's Strategic Equality Plan.

7. FINANCIAL IMPLICATIONS

- 7.1 The scheme is estimated to cost £5.305m to deliver (this includes a risk allowance of £400k). S106 funding of £3.593m and LTF funding of £1.5m will be used to deliver the scheme with any shortfall in funding being met by virement from the YYF funds. The LTF award sanctions the use of WG YYF funding to the delivery of the A468/A469 Pwllypant highway improvement scheme.
- 7.2 It should be noted that the S106 agreements contain clauses which require the contributions to be repaid to the developer a set time after the S106 is signed if the schemes listed in the Caerphilly Basin highway obligation SPG are not progressed. Trigger repayments amounting to £38k for some of the S106 agreements occur in 2017, £39k in 2018 and significant repayments of £757k occur in 2019. The proposed funding profile detailed within this report mitigates these trigger payments.
- 7.3 The works will be procured in accordance with the Council's Standing Orders and in consultation with Procurement services to ensure best value is achieved.

8. PERSONNEL IMPLICATIONS

- 8.1 There are no personnel implications.

9. CONSULTATIONS

- 9.1 All responses from consultations have been incorporated into this report and ongoing communication and consultation will continue throughout the project.

10. RECOMMENDATIONS

- 10.1 Cabinet approves delivery of the Pwllypant roundabout highway improvement scheme as a priority highway scheme.
- 10.2 Cabinet supports the use of the £1.5m LTF funding in 2017/18 and approves the preparatory and environmental works necessary and the construction procurement tendering exercise to commence in summer 2017.
- 10.3 Cabinet approves the virement of up to £700k from the YYF funds to the Pwllypant roundabout scheme as necessary balance funding to deliver the scheme.

11. REASONS FOR THE RECOMMENDATIONS

- 11.1 To meet the Council's planning and transport objectives under the LDP and ensure this section of the strategic highway network has sufficient capacity to meet future needs.

12. STATUTORY POWER

- .1 Highways Act 1980.

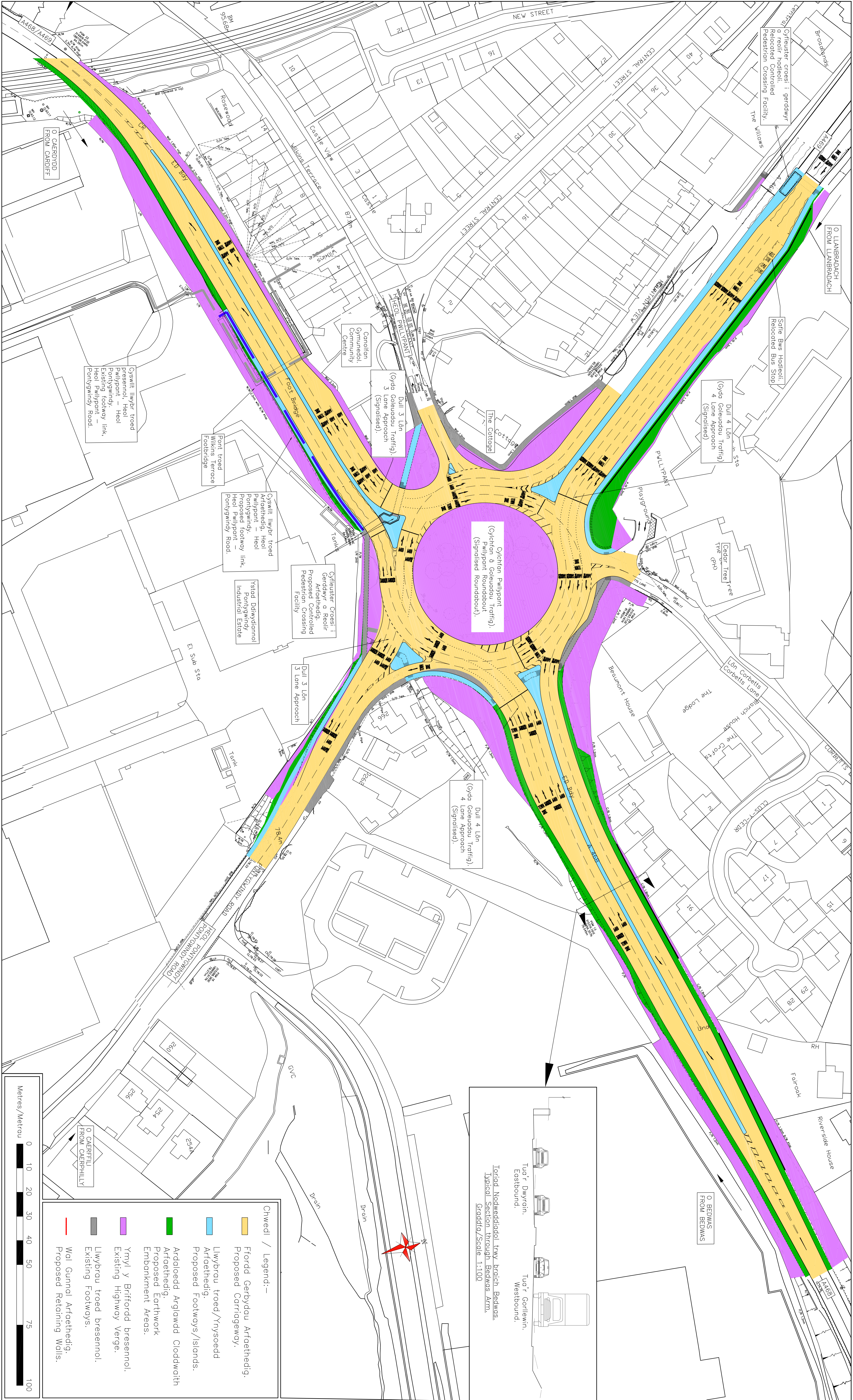
Author: Clive Campbell, Transportation Engineering Manager campc@caerphilly.gov.uk
ext. 5339

Consultees: Christina Harray – Corporate Director of Communities
Nicole Scammell, Acting Director of Corporate Services & S151
Gail Williams, Interim Head of Legal Services & Monitoring Officer
Marcus Lloyd – Interim Head of Engineering Services
Stephen Harris – Interim Head of Corporate Finance
Kevin Kinsey – Acting Engineering Projects Group Manager
Kate Dowdall – Senior Engineer
Gemma Thomas – Principal Engineer (Transport Strategy & Road Safety)
Trish Reardon – HR Manager
Anwen Rees – Senior Policy Officer (Equalities and Welsh Language)

Appendices:

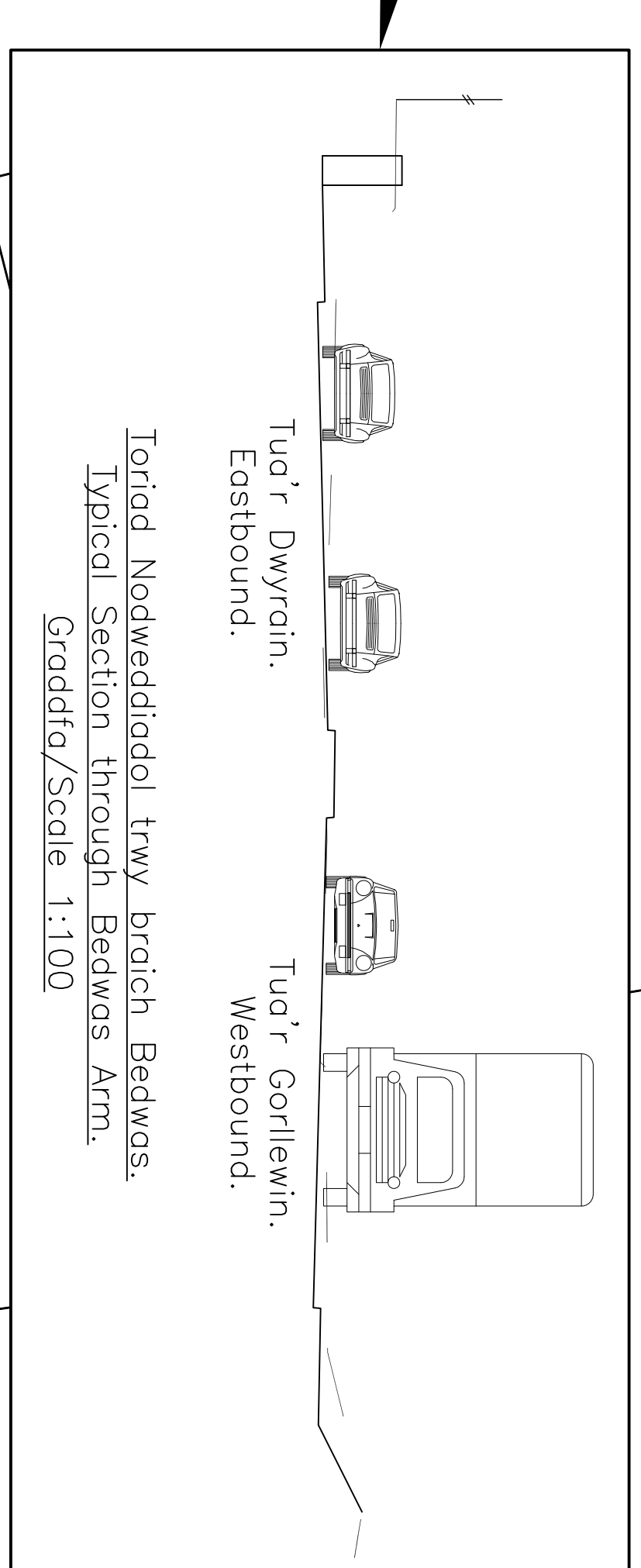
Appendix 1 - Proposed scheme layout
Appendix 2 – Snap Survey Feedback

Background papers: None



Chwedi / Legend: -

	Ffordd Gerbydu Arfoethedig. Proposed Carriageway.
	Llywbrau troed/Ynysoedd Arfoethedig. Proposed Footways/Islands.
	Arfoethed Arglwydd Cloddwrath Arfoethedig. Proposed Earthwork Embankment Areas.
	Ymyl y Biffordd bresennol. Existing Highway Verge.
	Llywbrau troed bresennol. Existing Footways.
	Wâl Gunnol Arfoethedig. Proposed Retaining Walls.



Gadewir y dudalen hon yn wag yn fwriadol

This report was generated on 09/03/15, giving the results for 60 respondents. A filter of 'All Respondents' has been applied to the data.

The following charts are restricted to the top 12 codes. Lists are restricted to the most recent 100 rows.

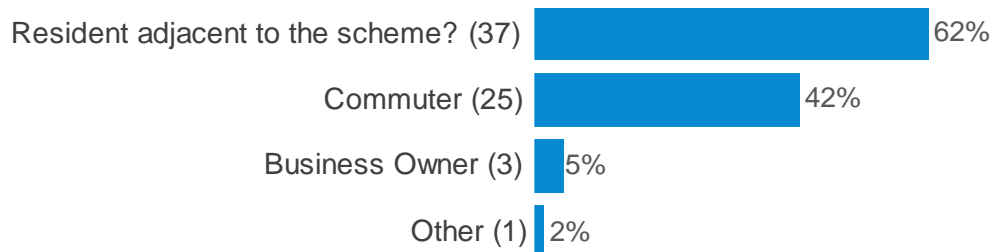
Do you support the scheme?



Do you want the controlled pedestrian crossing? (Even with the adverse effect on queuing on Pontygwindy Road)



Are you a;



If other, please specify

If other, please specify

I live in Heol Barri and use the roundabout several times a day

I live in Llanbradach and sometimes walk into town and you take your life in your hands here

Resident of Llanbradach

I live on Corbetts Lane

How often do you travel through the scheme?



Do you have any comments on the proposals?

Do you have any comments on the proposals?

About time something was done, thank you.

I don't feel that there is any major problem with the current road system

It's important that the proposals go ahead to alleviate traffic congestion on the bypass. However, the Council needs to secure funding to dual Caerphilly bypass from the pwill-y-pant roundabout to Nantgarw, which should have been completed years ago.

Waste of money, more lanes needed on A469 trencenydd to pwill-y-pant, would alleviate all issues, another shocking traffic proposal by caerphilly council, idiotic idea, again!!!!!!

I think traffic signals are a must.

This will cause more problems and prolong commuters travel rather than shorten it, poor decisions making

Make it safer for bicycles to use and crossing the roads by foot with a bike would be a great help. As a driver also can the traffic lights be part time so that the junction can be used as a roundabout later or earlier without stopping.

When carrying out the work please consider the effect it will have on the commuter on this already extremely busy roundabout, for some of us this is the only route we can take and there is no alternative way to go, i use this route 6 times a day

Badly needed improvements

Traffic signage should indicate local traffic only through Penyrheol & Energlyn whilst works are underway.

No.

Don't want any more noise at rear of my property, request for soundproof fence, would prefer to keep original road layout with the introduction of traffic lights.

This needs to happen

This will help ease the nightmare commute.

No

I consider there will be need for some restraining measure (low wall/crash barriers) at the rear of my property as the only other restraint would be my flimsy wooden fence.

Well done

Not happy with 'part time' lights - they are not safe!

Move pavement at Llanbradach Roundabout and extent to the brow of the hill approx 30 metres further

The crossing is a good idea, however if it affects the flow of traffic then it defeats the idea of the improvements.

No, other than improvements should be taken to the next roundabout footpath going to Llanbradach should be looked at.

Do you have any comments on the proposals?

Do you have any comments on the proposals?

Should improve traffic flow and improve pedestrian safety.

The pedestrian crossing is essential. Expecting mothers without transport to cross via the bridge to get to Asda, whilst pushing prams is not acceptable, particularly in winter.

Would be ideal if additional lighting was provided in Wilkins Terrace to make using the footbridge safer.

Disability access to Pontygwindy Road.

Pedestrian lights desperately needed for safety.

Concerns about the traffic on Heol Pwll-y-Pant during improvements on roundabout (rat run) children playing concerns even when improvement not started.

Heol Pwll-y-Pant is used as a rat run, from Bowls thro Y Cilgant, please close Y Cilgant. Suggest flyover from Nelson direction to Nantgarw? Emergency vehicles from YYF Hospital to Caerphilly dual carraigeway can be blocked from hospital to roundabout.

Will help exiting Pwll-y-Pant!

Good to see lights and allowing flow of traffic.

Long over due!! As a runner great to see I could possibly cross the road safely without going through the Trading Estate.

A very good idea should have been done years ago.

Good plans, very well explained.

Please complete as soon as possible.

Like the redirection of footbridge walkway avoiding industrial area. Ensure Pwllypant end is lit better as well.

Needs more thought.

Prefer retaining footbridge and creating a footpath as suggested by your department.

As a resident of Llanbradach I have serious concerns about the knock-on effect that these works will have on the village, as traffic will inevitably increase as people try to avoid queues on the A469

If part time - what times? Problem being if 1 yr construction huge impact on traffic via Penyrheol/Caledfryn, high impact on traffic from Senghenydd/Abertridwr/Hendredenny, already a nightmare. More consultation needed with residents of these areas.

Would strongly support retaining footbridge with a footpath as outlined on your drawing.

Concerns about increased use of Heol Pwllypant during works and longterm. No consideration for this exist in scheme traffic 'calming' measures currently in place 'stop' rather than 'calm' traffic, traffic on road while works carried out not considered.

If traffic lights part time, what times? As working on bypass Heol Aneurin Penyrheol is used for Senghenydd, Abertridwr and Llanbradach, you can't cross road or get out of side roads. Put notice in Caerphilly Observer as it comes out fortnightly.

Concerns regarding delays during construction works. Request for yellow hatched box junction on exit from Pontygwindy Ind' Est. onto Pontygwindy Road . Request for 10 days notice to businesses if road needs to be closed to be written into contract.

Please don't allow this to happens, this will cause chaos for commuters and I question the survey of pedestrian use numbers as it does seem accurate!!!

Access to the roundabout from Corbetts Lane needs to be easier than currently - no signals would make this even harder (particularly turning right). If signals are installed, they need to allow easy exit from the lane.

Gadewir y dudalen hon yn wag yn fwriadol



CABINET – 7TH JUNE 2017

SUBJECT: UNIT 21 LAWN INDUSTRIAL ESTATE, RHYMNEY – LEASE RENEWAL TO THE FURNITURE REVIVAL, GC ENTERPRISES (WALES) LTD

REPORT BY: CORPORATE DIRECTOR COMMUNITIES

1. PURPOSE OF REPORT

- 1.1 To seek approval for the Council to enter into a new 10 year lease to GC Enterprises (Wales) Ltd (trading as The Furniture Revival) for Unit 21 Lawn Industrial Estate, which comprises 13,103 sq ft, at an annual rental of £1 per annum.

2. SUMMARY

- 2.1 GC Enterprises (Wales) Ltd trading as The Furniture Revival and predecessor organisations has been in occupation of Unit 21 Lawn Industrial Estate since May 2001 when a 10 year lease was granted and subsequently the company has held over on the existing agreement by virtue of the Landlord & Tenant Act 1954. The lease is on fully repairing and insuring terms at an annual rental of £1 per annum.
- 2.2 The Furniture Revival is a social enterprise which through minimising waste to landfill by reuse and recycling supports the community and alleviates poverty by providing access to household furniture, electrical items and household paint whilst providing a hub for volunteers and facilitating training to enhance employability and skills.
- 2.3 GC Enterprises (Wales) Ltd have identified the need for capital purchases and refurbishment works in order to continue operating at the site. They have successfully applied for financial assistance through the Council's Community Regeneration Fund (CRF) and £22,855.06 has been awarded in principle. The CRF funding criteria requires that any beneficiary in rented accommodation to have an unexpired lease of a minimum duration of 10 years. Therefore, GC Enterprises (Wales) Ltd has requested that the Council enter into a new 10 year lease agreement on the same terms and conditions as the expired lease.
- 2.4 The report sets out how the request for a new lease meets the requirements of the Council's Protocol for the Disposal of Property. The report also details the financial implications if the new lease is agreed and how the Council would comply with the EC regulations on State Aid.
- 2.5 Cabinet approval is being sought to enter into a new 10 year lease with GC Enterprises (Wales) Ltd trading as The Furniture Revival at less than the best price that could potentially otherwise be achieved in the interests of the economic, social or environmental well being of the whole or part of the County Borough. Entering into a 10 year lease will also satisfy the conditions associated with the in principle CRF funding award to GC Enterprises (Wales) Ltd.

3. LINKS TO STRATEGY

- 3.1 The provision of key employment sites has been a priority in the Council's regeneration strategy, the "Single Integrated Plan" and WG's regeneration framework "Vibrant and Viable Places".
- 3.2 GC Enterprises (Wales) Ltd trading as The Furniture Revival assists the Local Authority in its statutory duty under the EU Waste Framework Directive 2008 to manage waste through recycling. The Furniture Revival's recycling, employment, training and social activities contribute towards the aims of the Environment Act 2016, WG's "Towards Zero Waste Wales - One Wales : One Planet" policy, the Social Services and Wellbeing (Wales) Act 2014 and the priorities and aims within the Council's "Single Integrated Plan" and "Anti-Poverty Strategy".
- 3.3 The Council's industrial property portfolio and The Furniture Revival's activities based within a Council industrial unit promotes economic activity through provision of employment opportunities and contributes to the objectives for sustainable development as set out in the Well-Being of Future Generations (Wales) Act 2015 by engendering:-
- A prosperous Wales
 - A resilient Wales
 - A more equal Wales
 - A Wales of Cohesive Communities
 - A globally responsive Wales.

4. THE REPORT

- 4.1 Unit 21 Lawn Industrial Estate comprises 13,130 sq ft and has been occupied by GC Enterprises (Wales) Ltd, currently trading as The Furniture Revival, and predecessor organisations since May 2001.
- 4.2 The Furniture Revival originally began in 1999 as Groundwork Caerphilly's Community Furniture Enterprise project. Since its establishment the project has been governed by Groundwork, initially via the Groundwork Caerphilly Trust, more recently through the Groundwork Wales Trust, and in 2007 the project became a Company Limited by guarantee, operating as a non-profit distributing social enterprise. The Authority has a long-standing association with the project.
- 4.3 The Furniture Revival is a social enterprise which seeks to achieve environmental, social, financial, and community goals. Through minimising waste to landfill by reuse and recycling initiatives The Furniture Revival aims to alleviate poverty by providing access to household furniture, electrical items and household paint whilst supporting the community by providing a hub for volunteers and facilitating training to enhance employability and skills.
- 4.4 The Furniture Revival has seen steady growth in recent years and staff numbers have grown from five in 2011 to 14 full and part-time posts (FTE of 9) in 2017, the majority of whom live in the Upper Rhymney Valley, and aims to continue its growth plan for long term economic sustainability. The Furniture Revival undertakes several projects in partnership with the Council which include:-
- Furniture and electrical reuse.
 - Community repaint Caerphilly.
 - Office clearance / Home moves.
 - Community re-floor / Homelife.
 - The book revival.
 - Promotion of waste awareness and sustainability.

- 4.5 The positive impact of The Furniture Revival is demonstrated by its 2016 outputs:
- 202 tonnes of furniture, electrical items and paint diverted from landfill
 - The cost to the Authority for the disposal of these items would have been nearly £20,000
 - Social benefits include working with 76 volunteers who have provided nearly 4,000 hours of their time, 145 schools engaged with and 28 community groups supported.
- 4.6 In 2001 the Council leased Unit 21, Lawn Industrial Estate, Rhymney on a 10 year lease at a £1 per annum rental, with associated fully repairing and insuring terms. The original lease was granted in return for the project providing the Council with assistance in meeting recycling targets, assisting low income households and creating supported employment and training opportunities.
- It was anticipated that the project would have been self funding at the end of 5 years. The original lease expired in 2011, but at that time there were concerns over the future of the project, as it had not achieved self-funding status and grant assistance that had previously been provided was being withdrawn.
- Subsequently the project has continued to operate and remained in occupation of Unit 21 Lawn Industrial Estate by holding over on their original lease agreement by virtue of the Landlord & Tenant Act 1954.
- 4.7 Under the 1954 Act a business tenant has the right to a new lease on terms to be agreed and the market rent is estimated at circa £13,130-£19,695 per annum, based on £1-£1.50 per ft². This is lower than rentals achieved elsewhere on the estate, as Unit 21 is significantly larger and no other demand has been identified in the Upper Rhymney Valley area for Council owned business units of this size.
- 4.8 GC Enterprises (Wales) Ltd wish to continue their operations at Unit 21 but have identified the need for capital purchases and refurbishment works. They have successfully applied for financial assistance through the Council's Community Regeneration Fund (CRF) and £22,855.06 was awarded in principle in November 2016 and revised and re-confirmed in March 2017 to specifically exclude building maintenance related costs from the CRF award.
- 4.9 The CRF funding criteria requires that any beneficiary in rented accommodation to have an unexpired lease of a minimum duration of 10 years. In order to be able to benefit from the CRF funding, GC Enterprises (Wales) Ltd has requested that the Council enter into a new 10 year lease agreement on the same terms and conditions as the expired lease.
- 4.10 The Local Government Act 1972 : General Disposal Consent (Wales) 2003 allows the Council to enter into a disposal at an undervalue where it considers that the disposal is in the interests of the economic, social or environmental well-being of the whole or any part of its area, or any or all persons resident or present in its area and the undervalue is £2,000,000 or less.
- 4.11 Under the council's constitution, a lease of 10 years duration is a disposal and the Council's Protocol for Disposal of Property requires that:-
- Paragraph 8.1(vi) – "All disposals will be at the best price achievable. Any disposal at less than the best price available to be approved by Cabinet and, if appropriate, the National Assembly for Wales."
 -
- 4.12 Given that this would be a 10-year lease at a potential maximum rental of £19,000, officers consider the capitalised value to be within those limits and that WG approval need not be sought. However, the Council should notify its external auditor within 28 days of taking the decision to do so.

- 4.13 Accordingly, Cabinet approval is being sought to enter into a new 10 year lease with GC Enterprises (Wales) Ltd trading as The Furniture Revival at less than the best price that could potentially otherwise be achieved in the interests of the economic, social or environmental well being of the whole or part of the County Borough. Entering into a 10 year lease will also satisfy the conditions associated with the in principle CRF funding award to GC Enterprises (Wales) Ltd.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 This proposal contributes to the Well-being Goals as set out in Links to Strategy above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act and it is aimed at improving the environmental, social and economic well-being of the area.
- 5.2 The proposal aligns with the following well-being goals:-
- A prosperous Wales – providing local employment opportunities in the community that create prosperity for the local population.
 - A resilient Wales – providing employment opportunities makes the area more resilient to external economic factors.
 - A more equal Wales - ensuring that the disadvantaged people have access to good quality, affordable furniture and electrical goods.
 - A Wales of Cohesive Communities – providing local employment opportunities stabilises and develops local communities and prevents outmigration as people seek work opportunities elsewhere.
 - A globally responsive Wales - reducing the impact of climate change through recycling products thereby minimising disposal to landfill and the need for providing replacement raw materials.

6. EQUALITIES IMPLICATIONS

- 6.1 An EIA has been completed in accordance with the council's Strategic Equality Plan and supplementary guidance and no potential for unlawful discrimination and/or low level or minor negative impact has been identified, therefore a full EIA has not been carried out.

7. FINANCIAL IMPLICATIONS

- 7.1 Should Cabinet agree to enter into the proposed lease, the Council will lose potential income of circa £13,130-£19,695 per annum, for the duration of the lease. However, whilst there is considerable demand for small industrial units of 500-1,500 sq ft in the Upper Rhymney Valley, there is no demand for premises of the larger size of Unit 21 of 13,103 sq ft. Consequently, if Unit 21 is not occupied by GC Enterprises (Wales) Ltd there is potential for the premises to remain vacant for some considerable time, until an alternate tenant is secured.
- 7.2 If Unit 21 were to be vacated by GC Enterprises (Wales) Ltd, the Council would be liable for the property's National Non Domestic Rates, £12,255.50 for 2017/18, until an alternate tenancy is secured. It should also be noted that GC Enterprises (Wales) Ltd's activities also reduced landfill by 202 tonnes in 2016, which represents a cost saving of nearly £20,000 for the Council.
- 7.3 Should the Council provide GC Enterprises (Wales) Ltd with a new lease at a £1 per annum the advice of Legal Services is that this would be considered to be State Aid. However, as the amount of State Aid falls within the acceptable European Commission limit that will not distort competition it can be regarded as 'de minimis' aid. Therefore, if Cabinet approves the new 10

year lease for the unit, appropriate State Aid monitoring arrangements will be put in place to ensure compliance with the State Aid de minimis regulations.

8. PERSONNEL IMPLICATIONS

8.1 There are no personnel implications associated with this report.

9. CONSULTATIONS

9.1 The comments from consultees have been included in the report.

9.2 The three Ward Members for Moriah and Twyn Carno Wards, which are in the vicinity of the unit, were consulted in February 2017 and all are in favour of renewing the lease with GC Enterprises (Wales) Ltd on the terms proposed.

10. RECOMMENDATIONS

10.1 That Cabinet approves that the Council enter into a new 10-year lease, at a rental of £1 per annum and otherwise on the same terms, with GC Enterprises (Wales) Ltd trading as The Furniture Revival for Unit 21 Lawn Industrial Estate.

11. REASONS FOR THE RECOMMENDATIONS

11.1 In the interests of the economic, social or environmental well being of the whole or part of the County Borough to support The Furniture Revival, which through minimising waste to landfill by reuse and recycling, sustains the community and alleviates poverty by providing access to household furniture, electrical items and household paint whilst providing a hub for volunteers and facilitating training to enhance employability and skills.

11.2 To comply with the Council's Protocol for Disposal of Property.

12. STATUTORY POWER

12.1 General Disposal Consent (Wales) 2003. Local Government Acts 1972 and 2000. This is a Cabinet function.

Author:	David Whetter	Interim Head of Regeneration (whettdj@caerphilly.gov.uk)
Consultees:	Cllr Sean Morgan	Cabinet Member for Economy, Infrastructure and Sustainability
	Christina Harrhy	Corporate Director, Communities
	Colin Jones	Head of Performance and Property Services (consulted in February 2017)
	Mark Williams	Interim Head of Property
	Tim Broadhurst	Section Head Estates
	Mark S Williams	Head of Community & Leisure Services
	Stephen Harris	Interim Head of Corporate Finance
	David Roberts	Principal Group Accountant
	Russell Allen	Senior Legal Assistant
	Antony Bolter	Business Support & Funding Manager
	Alison Ward	Business Support & Funding Industrial Property Manager
	Interim Head of Regeneration Cllr. David Harse	Councillor for Moriah Ward
	Cllr. John Bevan	Councillor for Moriah Ward
	Cllr. Carl Cuss	Councillor for Twyn Carno Ward

Gadewir y dudalen hon yn wag yn fwriadol



CABINET - 7TH JUNE 2017

SUBJECT: BRYN COMPOST LIAISON GROUP TERMS OF REFERENCE

REPORT BY: CORPORATE DIRECTOR- SOCIAL SERVICES

1. PURPOSE OF REPORT

- 1.1 In March 2010, Council agreed to establish the Bryn Compost Liaison Group. Following a request from the Liaison Group to extend its terms of reference to incorporate odours created by farming activities, this report seeks the view of Cabinet on the future operation of the Group prior to its presentation to Council.
- 1.2 Part 2 of the Council's constitution provides that full Council is responsible for "agreeing and/or amending the terms of reference for committees, sub committees, panels and boards, deciding on their composition and making appointments to them".

2. SUMMARY

- 2.1 Bryn Compost Ltd operates as a commercial composting business at Gelliargwellt Uchaf Farm in Gelligaer. The Bryn Compost Liaison Group was established in March 2010 in order to address complaints of odour experienced around the Gelliargwellt Uchaf Farm location. The Liaison Group is composed of representatives from the Bryn Compost Company, Environmental Health, Natural Resources Wales, Public Health Wales, adjoining local ward members and ten residents and chaired by the Cabinet Member for Community and Leisure Services. Its existing terms of reference are detailed in the appendix to the report. A local ward member suggested that the terms of reference should be extended to incorporate odours created by farming activities and this was supported by the Liaison Group.

3. LINKS TO STRATEGY

- 3.1 This proposal supports the authority's aim to maximise its contribution towards the national well-being goals for Wales under the Well-being of Future Generations (Wales) Act 2015 and in particular contributes to:
 - *A prosperous Wales*
 - *A resilient Wales*
 - *A healthier Wales*
 - *A Wales of cohesive communities*
 - *A globally responsible Wales*

4. THE REPORT

- 4.1 The Gelliargwellt Uchaf Farm complex is comprised of various businesses including Bryn Quarry, a waste recycling facility, a working milking cattle farm, an In-Vessel Composting (IVC) facility and an energy from waste anaerobic digestion (AD) facility.
- 4.2 Over recent years, improvements in the management and operation of the IVC, together with the introduction of the AD facility has significantly reduced the number of odour incidents associated with the composting facility. The number of complaints relating to composting odours has also significantly declined with members of the Liaison Group remarking on a substantial improvement. Attendance at the Liaison Group has declined over recent times with some meetings attended by just one or two local ward members and four members of the public from Nelson and Gelligaer.
- 4.3 Such positive improvements have been countered by a limited number of residents occasionally reporting complaints of odour associated with farming activities such as feeding cattle, cutting silage and spreading slurry as fertiliser. As such a local ward member has suggested that the terms of reference for the Liaison Group should be expanded to include the farming activities and this was supported by the those present.
- 4.4 Complaints of farming related odours have been investigated and found to be transient with no evidence of statutory nuisance. The farming practices also comply with best practice guidance.
- 4.5 Members should be aware that the investigation of such farm related odours are considered to be “business as usual” and therefore do not require the provision of a specific liaison group. Liaison groups have not been established for other farms across the county borough. Furthermore, the significant reduction in complaints associated with the composting facility suggests that the Liaison Group has successfully served its purpose and as such has reached a natural conclusion.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 This proposal contributes to the Well-being Goals as set out in Links to Strategy above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act in that it has successfully integrated a problem solving approach with other agencies to set priorities, involved the local population in the decisions that affected them, and explored the root cause of the issues to minimise future re-occurrences.

6. EQUALITIES IMPLICATIONS

- 6.1 There are no equalities implications.

7. FINANCIAL IMPLICATIONS

- 7.1 There are no financial implications.

8. PERSONNEL IMPLICATIONS

- 8.1 There are no personnel implications as a result of this report.

9. CONSULTATIONS

- 9.1 There are no consultations that have not been included in the report

10. RECOMMENDATIONS

10.1 Members are asked to consider the future role of Bryn Compost Liaison Group and made a recommendation thereon to Council.

11. REASONS FOR THE RECOMMENDATIONS

11.1 To consider the future role of the Bryn Compost Liaison Group.

12. STATUTORY POWER

12.1 Environmental Protection Act 1990

Author: Ceri Edwards, Environmental Health Manager edwarc@caerphilly.gov.uk
Consultees: Cabinet Member
Chris Burns Interim Chief Executive
David Street Corporate Director Social Services
Rob Hartshorn Head of Public Protection
Gail Williams Interim Head of Legal Services and Monitoring Officer
Jon Goldsworthy Natural Resources Wales
Adam Ward Natural Resources Wales
Catriona Harvey Natural Resources Wales
Public Health Wales

Appendices:

Appendix 1 – Bryn Compost Liaison Group Terms of Reference

Gadewir y dudalen hon yn wag yn fwriadol

**BRYN COMPOST LIAISON GROUP
TERMS OF REFERENCE**

1. PURPOSE

1. To promote effective communication between Bryn Compost, the Local Residents, Members, Natural Resources Wales, Public Health Wales and Local Authority Officers.
2. To receive and consider complaints and concerns about the current operation of Bryn Compost in so far as it impacts on the local communities
3. To receive information about action taken by regulatory, statutory and other bodies in relation to the operation of Bryn Compost, with particular regard to complaints received.

2. MEMBERSHIP

County Borough:

Adjoining Ward Members and respective Cabinet Member

Residents:

10 local resident representatives

Bryn Compost Ltd: Mr A. Price or his representative

Public Health Service: Representative

Natural Resources Wales: Representative

Environmental Health: Ceri Edwards and Gary Mumford

Co-opted members: as may from time to time be required.

3. OFFICERS

Chair: Respective Cabinet Member, who will act as the Group's co-ordinator

Administrative Secretary: Committee Services Officer, who will make a record of the proceedings

4. MEETINGS

Meetings of the Group will be held at intervals of three months or as deemed appropriate by the Chair. Meetings will be held during office hours at the Caerphilly County Borough Council Offices, Ty Penallta or an alternative Council Office, depending on availability of meeting rooms.

5. REPORTING ARRANGEMENTS

Notices of meetings, minutes and other appropriate papers will be circulated to members of the Group. It will be the responsibility of the Administrative Secretary to ensure circulation of the minutes to appropriate persons.

The Group will also liaise with other agencies and organisations as deemed appropriate.