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## AGENDA

**Pwyllgor** PWYLLGOR ARCHWILIO

**Dyddiad ac amser y cyfarfod** DYDD MAWRTH, 13 TACHWEDD 2018, 2.00 PM

**Lleoliad** YSTAFELL BWYLLGORA 4 - NEUADD Y SIR

**Aelodaeth** Aelodau Annibynnol: Ian Arundale (Cadeirydd)  
Gavin McArthur, David Price a/ac David Hugh Thomas

Cynghorywr Bale, Cowan, Cunnah, Howells, Lay, McGarry, Singh a/ac Walker

*Tua  
Amserx.*

### 1 Ymddiheuriadau am Absenoldeb

2.00 pm

Derbyn ymddiheuriadau am absenoldeb.

### 2 Datgan Buddiannau

Dylid gwneud hyn ar ddechrau'r eitem agenda dan sylw, yn unol â'r Cod Ymddygiad Aelodau.

### 3 Cofnodion (*Tudalennau 3 - 12*)

Cymeradwyo cofnodion y cyfarfod a gynhaliwyd ar 19 Medi 2018 fel cofnod cywir.

### 4 Materion Gweithredol

**4.1** Sarah McGill, Cyfarwyddwr Pobl a Chymunedau – Diweddariad ar Amgylchedd Rheoli Mewnol (*Tudalennau 13 - 180*) 2.05 pm

**4.2** Davina Fiore, Cyfarwyddwr Cyfreithiol a Llywodraethiant a'r Swyddog Monitro – Diweddariad ar Amgylchedd Rheoli Mewnol (*Tudalennau 181 - 196*) 2.25 pm

**4.3** Isabelle Bignall, Prif Swyddog Digidol – Seibr Ddiogelwch (*Tudalennau 197 - 208*) 2.45 pm

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<b>5</b>	<b>Cyllid</b>	3.05 pm
<b>5.1</b>	Diweddariad Ariannol gan gynnwys Materion Gwydnwch ( <i>Tudalennau 209 - 212</i> )	
<b>6</b>	<b>Llywodraethiant a Rheoli Risg</b>	3.15 pm
<b>6.1</b>	Rheoli Risg Corfforaethol (Canol Blwyddyn) ( <i>Tudalennau 213 - 236</i> )	
<b>7</b>	<b>Swyddfa Archwilio Cymru</b>	3.25 pm
<b>7.1</b>	SAC Gwaith Archwilio Perfformiad Diweddariad Rhaglen ( <i>Tudalennau 237 - 242</i> )	
<b>8</b>	<b>Teclyn Olrhain SAC/Astudiaethau Eraill</b>	3.35 pm
<b>9</b>	<b>Rheoli'r Trysorlys</b>	3.40 pm
<b>9.1</b>	Adroddiad Hanner Blwyddyn ( <i>Tudalennau 243 - 268</i> )	
<b>9.2</b>	Adroddiad ar Berfformiad ( <i>Tudalennau 269 - 274</i> )	
<b>10</b>	<b>Archwiliad Mewnol</b>	4.00 pm
<b>10.1</b>	Adroddiad ar Gynnydd y Tîm Archwilio 2018/19 ( <i>Tudalennau 275 - 352</i> )	
<b>10.2</b>	Adroddiad ar Gynnydd y Tîm Ymchwiliadau 2018/19 ( <i>Tudalennau 353 - 392</i> )	
<b>11</b>	<b>Gohebiaeth Graffu (Gweithgaredd y Pwyllgor Craffu)</b>	4.20 pm
<b>12</b>	<b>Camau sydd eto i'w Cyflawni</b> ( <i>Tudalennau 393 - 394</i> )	
<b>13</b>	<b>Diweddariad ar y Rhaglen Waith</b> ( <i>Tudalennau 395 - 396</i> )	
<b>14</b>	<b>Eitemau Brys (os oes rhai)</b>	
<b>15</b>	<b>Dyddiad y Cyfarfod nesaf:</b>	

Cynhelir y cyfarfod nesaf ar 22 Ionawr 2019.

**Davina Fiore**

**Cyfarwyddwr Llywodraethu a Gwasanaethau Cyfreithiol**

Dyddiad: Dydd Mercher, 7 Tachwedd 2018

Cyswllt: Graham Porter, 02920 873401, g.porter@caerdydd.gov.uk



Mae'r dudalen hon yn wag yn fwriadol

## DRAFT MINUTES

**DRAFT MINUTES**

Meeting ID	3511
Committee	Audit Committee
Date	18/09/2018
Attendees	Ian Arundale (Chair) David Hugh Thomas (Co-Optee) Gavin McArthur (Co-Optee) David Price (Co-Optee) Councillor Phil Bale (Committee Member) Councillor Jayne Cowan (Committee Member) Councillor Stephen Cunnah (Committee Member) Councillor Nigel Howells (Committee Member) Councillor Chris Lay (Committee Member) Councillor Mary McGarry (Committee Member) Councillor Kanaya Singh (Committee Member) Councillor David Walker (Committee Member) Graham Porter (Clerk) Christine Brain (Notify) Rita Rohman (Notify) Christine Salter (Notify) Ian Allwood (Notify) Jo Brunton (Notify) Gill Nurton (Notify) Sara-Jane Byrne (Notify) Jon Martin (Public) Ann-Marie Harkin (Notify) Linda James (Wales Audit Office) Allison Rees (Notify) Timothy Buckle (Notify) Mandy Farnham (Notify) Phil Pugh (Notify) Samantha Clements (Notify) Davina Fiore (Monitor) Gary Jones (Monitor)

Item ID	13534
Item Title	Apologies for Absence
Summary	Apologies were received from Councillor Chris Lay, Gavin McArthur, David Price and D. Hugh Thomas.

Item ID	13535
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Item Title	Declarations of Interest		
Summary	The following declarations of interest were received:		
	Cllr Bale	Item 4 Item 5	School Governor Member of Pension Fund
	Cllr Cowan	Item 4	School Governor
	Cllr Cunnah	Item 4.1.2 Item 5.2	School Governor Members of Pension Fund
	Cllr Howells	Item 4.1.2 Item 5.2	School Governor Members of Pension Fund
	Cllr McGarry	Item 4.1 Item 5	School Governor
	Cllr Walker	Item 4	School Governor

Item ID	13536
Item Title	Minutes
Summary	The minutes of the meeting held on 26 June 2018 were approved by the Committee as a correct record and were signed by the Chairperson.

Item ID	13541
Item Title	Nick Batchelar, Director Education and Lifelong Learning - Annual Report on School Governance (including balances and deficits)
Summary	<p>The Chairperson welcomed the Director of Education to the meeting. The Director was invited to deliver two reports: a report on the Directorate 'Internal Control Environment'; and a report on 'Governance in Schools and School Balances'.</p> <p>Members were advised that the Directorate is responsible for early years education, statutory age education, education in school sixth forms and the youth service, with a a net budget of £256.425 million, of which £230.923 million is delegated to the 127 schools in Cardiff.</p> <p>The report set out the directorate structure, the seven key strategic priorities, its directorate's risk management response and the Senior Management Assurance Statement arrangements and position. The report also provided an overview of the monitoring and implementation of Internal Audit Monitoring reports undertaken during 2017/18 and 2018/19.</p> <p>The Director presented his annual report on school governance and school balances. The report provided details of the audits undertaken in schools during 2017/18, an analysis of individual school financial balances at 31 March 2018 and school balances for the previous six years. The overall surplus balances held by schools had increased from £4.242 million in 31 March 2017 to £7.319 million on 31</p>

March 2018. This was partly due to a late grant from Welsh Government which was received in 2018/19 but was to be spent in 2019/20. There are 59 school balances in excess of the Welsh Government recommended level (£50,000 for primary schools and £100,000 for secondary schools). The Council has the power to reclaim part or whole of the surplus balance, if the governing body does not have a robust plan to spend.

The Director welcomed the use of the Control Risk Self-Assessment Tool and the thematic school audits and provided assurance in the use of powers of intervention for schools with poor financial management and poor governance. Members were reminded that Eastern High School and Cantonian High School had had their delegation withdrawn and that sufficient progress had been made for consideration to be given to returning delegation to them during the coming year.

The Chairperson invited comments and questions from Members of the Committee. Those discussions are summarised as follows:

- Members considered that more information should be included in the report in terms of what the LEA is doing to challenge identified risks, for example, the risk that the Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and attainment does not improve at the required rate. The Director stated that he could offer absolute assurance that Cardiff is challenging the Central South Consortium, and gave an undertaking to provide further detail in next year's report.
- The Committee asked the Director to comment on school budget surpluses. The Director stated that the concerns identified were not directed at any school in particular, but drew attention to a Government conversation at a national level voiced by the Cabinet Minister on managing surplus balances.
- Members noted that Head Teachers and Chairs of Governing bodies are not typically invited to appear before the Committee in instances where limited assurance opinion is given. The Chairperson requested the Section 151 Officer and Director of Education consider an approach to reinforce the messages and expectations of the Audit Committee, which balances the impact and focus of the Audit Committee agenda.
- Members raised concerns about the evaluation of performance in the Youth Service Commissioning Model, and sought assurance on the transparency of the arrangements. The Director advised that the approach taken has worked well in some areas and not so well in other areas and the commissioning model is currently subject to a review. The Chairperson requested that a report on the Youth Service Commissioning Model be brought to a future meeting of the Committee, to address the points raised by Members.
- Members welcomed progress made around building maintenance in the schools estate, reflecting on the management of risk, the impact of the older buildings on revenue budgets and the lack of Governing body funding for

this purpose. Members were advised that the Directorate has refreshed the School Maintenance Handbook, supported the appointment of Health and Safety Officers and together with the management of prioritisation of increased budgets means that the governance of the asset renewal budget is stronger than previously. Members were advised that an additional £25 million has been allocated to the asset renewal budget over the next 4 years. The School Budget Forum has recognised that some school buildings are in a poor state and in order to reflect this a change in the funding formula has been agreed.

- A Member raised concerns regarding the confusion between ESTYN and the Welsh Government regarding school categorisation grading. The Director shared the concerns on the limitations of the categorisation referencing the Donaldson review of ESTYN, which posed questions regarding the move away from summative judgements.
- Responding to a point raised by the Committee in respect of school balances, officers stated that a percentage threshold was agreed by the School Budget Forum of 4% of the overall budget. Twenty schools have held surpluses in excess of 4% for a number of years and some schools are consistently exceeding that level.
- Members asked whether as part of the 21<sup>st</sup> Century Schools Programme any risk has been identified in terms of the growth of pupil numbers impacting on the sequencing of the programme and whether there was any associated financial risk. The Director stated that as the City grows there will be capacity. There is a reasonable degree of certainty regarding pupil numbers in primary schools. The 21<sup>st</sup> Century Schools proposals are based on existing data and the Directorate is aware of where school places are needed. The programme is co-dependent on funding from Welsh Government. Discussions regarding phasing are ongoing and some uncertainty remains. There is a level of uncertainty related to the Local Development Plan in relation to policy issues and the balance between Welsh and English medium education.

RESOLVED – That:

- (1) the report be noted;
- (2) with regard to the Head Teachers and Chairs of Governing Bodies, the Section 151 Officer and Director of Education consider an approach to reinforce the messages and expectations of the Audit Committee, which balances the impact and focus of the Audit Committee agenda
- (3) a report on the Youth Service Commissioning Model be brought to a future meeting of the Committee, to address the points raised by Members.

Item ID	13542
Item Title	Andrew Gregory, Director Planning, Transport & Environment - Update on the



	<b>Internal Control Environment</b>
<b>Summary</b>	<p>The Chairperson welcomed Andrew Gregory, Director of Planning, Transport and Environment to the meeting. The Committee received a presentation on the 'Internal Control Environment' for the Directorate.</p> <p>Members were advised of the processes in place to manage the Corporate Risks led by the Directorate, which included Waste Management, Air Quality, City Security, Climate Change and Energy Security.</p> <p>Members were advised that the Directorate Management Team is actively engaged in the review of the Senior Management Assurance Statement (SMAS), with an overall strong application of good governance reported across the Directorate. The position in implementing recommendations of Internal Audit was also presented. Members were invited to comment, seek clarification or raise questions on the information received. Those discussions are summarised as follows:</p> <ul style="list-style-type: none"> <li>• Members noted that the report contained details of the governance arrangements in place but did not contain any information regarding performance, customer service or engagement. The Director stated that the Directorate is broadly achieving its aims with the majority of targets rated green or green/amber. Members were advised that in terms of the Welsh Government's recycling target, the service aims to achieve a recycling rate of 64% by 2020 which is a challenging and a substantial undertaking.</li> <li>• Members noted that a strategic priority for the Local Development Plan was the provision of housing. However, there was little reference to provision for the gypsy traveller community in terms of progress or a timetable for delivery. The Directorate stated that discussions with the landowners and the Welsh Government are ongoing.</li> <li>• A Member raised concerns regarding the lack of land identified for the provision of burial space in the LDP. The Director advised that the Head of the Bereavement Service has undertaken a review of the Bereavement Strategy and has identified an increased need for burial provision. Any application for a new burial site would be assessed under planning law and a decision must be robust. The Director stated that the review highlighted that additional burial space in the city is necessary and an immediate response was needed.</li> </ul> <p>RESOLVED – That the report be noted.</p>

<b>Item ID</b>	13543
<b>Item Title</b>	Exclusion of the Public
<b>Summary</b>	RESOLVED – That the public be excluded during discussion of the following items of business on the grounds that if members of the public were present during the discussions, due to the nature of the business to be transacted there would be disclosure to them of exempt information as defined in the Local Government Act 1972 and Category 3 of the Local Authority's (Access to Information) (Variation) (Wales) Order 2007 as follows:-

	'Information relating to the financial or business affairs of any particular person (including the authority holding that information).'
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Item ID	13906
Item Title	Confidential Update
Summary	The Committee received a confidential update on a Contingent Liability matter identified in the Statement of Accounts 2017/18.

Item ID	13544
Item Title	Financial Update including Resilience Issues
Summary	<p>The Corporate Director Resources presented a report advising the Committee of the latest position in relation to budget monitoring in the current year and providing an update on the preparatory work for the 2019/20 budget and the medium term.</p> <p>Members were advised that the Month 4 Budget Monitoring Report was due to be considered by the Cabinet on 20 September 2018. The report projected a balanced position with financial pressures and shortfall against budget savings targets being offset by projected savings on capital financing, an anticipated surplus on Council Tax collection and NDR refunds on council properties. Directorate budgets are projected to be overspent by £5 million, however it is anticipated that management actions will enable this to be reduced by year end. The overspends were partly offset by underspends in other directorates and by the £3 million general contingency budget.</p> <p>Members were asked to note the Month 4 position in Directorates; a savings shortfall of £2.8 million anticipated against the £14.296 million directorate savings target; and the variation in the £109 million capital programme of £2.7 million due to slippage.</p> <p>The Corporate Director Resources advised that the CIPFA Prudential Code was updated in December 2017. The Code requires that the Council approves a Capital Strategy that sets out the long-term context in which both capital expenditure and investment decisions are made. The Budget Strategy report set out the key components of a Capital Strategy and the extent to which this is already reflected in the Council's approach to budget setting. The Capital Strategy will form part of the Budget Report for consideration in February 2019.</p> <p>Members referred to the acquisition of the former Toys 'R' Us site in Cardiff Bay. The Head of Finance stated that some unallocated capital receipts were being used to fund this expenditure. Officers in Finance are working closely with the Director of Economic Development to ensure that the necessary funding is in place. A Member sought reassurance that other priorities will not be impacted upon. The Head of Finance stated that the</p>

Capital Strategy will help provide that level of transparency.

RESOLVED – That the Audit Committee note the latest position in respect of the Council’s budget monitoring for the current year and the work being undertaken in respect of the budget preparation for 2019/20 and the medium term.

Item ID	13545
Item Title	Final Statement of Accounts for 2017-18 (including the AGS)
Summary	<p>The Committee received the audited Statement of Accounts 2017/18 for the City and County of Cardiff, the Cardiff Harbour Authority, the Cardiff and Vale of Glamorgan Pension Fund and the Annual Governance Statement. The Committee received the draft Accounts and Annual Governance statement on 26 June 2018 and officers confirmed that issues raised at that meeting were addressed with responses set out in Appendix 4 of the report.</p> <p>The Committee discussed the report and the following comments were made:</p> <ul style="list-style-type: none"> <li>• Members referred to the categories of debtors listed in the report. Officers were asked whether the recovery of £1 million in overpayments of Housing Benefit was achievable. Officers advised that the authority attempts to recover all overpayments, but this can be phased. Members were asked to note that the overpayment figure arises as a result of the year-end accounting.</li> <li>• Wales Audit Office advised that an unqualified report would be issued on all 3 sets of accounts.</li> <li>• In response to a question from a Member, the Committee was advised that there have been no loan transactions with Cardiff Bus during the year to date. Officers advised that any potential loan to Cardiff Bus, will follow appropriate due diligence.</li> <li>• An explanation was sought in respect to the deferred liabilities for Rent Smart Wales. Officers advised that the income received by Rent Smart Wales covers a five year period and needs to be treated accordingly in the accounts.</li> <li>• The Committee asked whether there was an internal limit on the level of reserves retained by the authority and how reserves are reviewed. Officers reminded the Committee that when benchmarking reserves with other Welsh local authorities, Cardiff has a comparatively lower level of reserves held. A Reserves Policy is published the Corporate Director Resources which states that the authority requires a prudent level of general reserve. The Council has been able to create a Strategic Budget reserve which will be used over the next 2 or three years.</li> </ul> <p>RESOLVED – That the Statement of Accounts for 2017/18 and Annual Governance Statement be noted.</p>

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Item ID	13546
Item Title	Audit Committee's Response to the Wales Audit Office Consultation on Fee Scales 2019/20 (Verbal Item)
Summary	<p>The Head of Finance advised that responses have been received from the Audit Committee to the Wales Audit Office consultation on fee scales for 2019/20. The Chairperson requested the Head of Finance draft a letter to Wales Audit Office setting out the Committee's formal response to the consultation.</p> <p>RESOLVED – That the Head of Finance draft a letter to Wales Audit Office setting out the Committee's formal response to the consultation</p>

Item ID	13548
Item Title	Corporate Risk Management (Qtr 1)
Summary	<p>The Committee received a report providing an update on the risk management position at end of quarter 1, 2018/19.</p> <p>Members were advised that 296 directorate risks were reported to Senior Management Team (SMT) in September 2018, and 8 directorate risks were at the SMT escalation point. Details of the changes to the Corporate Risk Register in quarter 1 were outlined.</p> <p>A Member emphasised the importance of cyber security and information governance. The Head of Finance advised that the Chief Digital Officer is on the Work Programme and would be invited to attend the Committee in November 2018. The Work Programme would be considered under agenda item 12.</p> <p>RESOLVED – That the Audit Committee note the risk management activity and the contents of the Corporate Risk Register.</p>

Item ID	13550
Item Title	WAO Activity/Report Progress Update
Summary	No progress update presented at the meeting.

Item ID	13551
Item Title	WAO Tracker/Other Studies
Summary	The Head of Finance provided a verbal update on the WAO tracker.

Item ID	13553
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Item Title	Treasury Management Performance Report
Summary	<p>The Committee received the Treasury Management Performance Report and a position statement as at 31 August 2018 for information.</p> <p>RESOLVED – That the report be noted.</p>

Item ID	13554
Item Title	Treasury Management Annual Report
Summary	<p>The Committee received the Treasury Management Annual Report prior to its submission to Council on 27 September 2018. Officers summarised the key points of the report. Members were advised that at the start of the year the Council is required to set a number of prudential indicators for capital and revenue expenditure. During 2017/18 no indicators were breached.</p> <p>Responding to a question from the Committee, officers confirmed that whilst a number of local authorities have had LOBO loans called in, there was no indication that Cardiff's loans will be called in. In the event that these loans are called in, officers will consult advisors and spread any risk if pertinent to do so.</p> <p>Members were advised that CIPFA were developing a risk index around wider procedures and governance. This was in response to treasury management issues in some Councils.</p> <p>The Chair asked whether 'Brexit' had any implications for investments held in the EU (Republic of Ireland). Officers advised that there were no risks as investments domiciled in Ireland are in Sterling and can be returned the following day.</p> <p>Members asked whether there were any plans to get better rates on investments that are due to expire soon. Officers stated that current strategy is to keep investments short. The authority will need cash to minimise the need for borrowing. Additionally, local authorities receive less favourable rates than private investors. Commitments made under the City Deal project will mean that cash will be required this year and therefore, to allow certainty, it was decided not to invest beyond 1 year in respect of City Deal monies.</p> <p>Members asked whether the Council was close to the maximum permitted Capital Financing Requirement (CFR). Officers advised that the Council is required to set an affordable borrowing limit. There is no maximum permitted level. The Section 151 Officer stresses as part of the budget what the authority can afford.</p> <p>RESOLVED – That the Treasury Management Annual Report 2017/18 be noted.</p>

Item ID	13556
Item Title	Audit Team Progress Update 2018/19
Summary	<p>The Head of Finance advised Members that a recent recruitment exercise has led to the appointment of a new Audit Manager. Members were advised that the new Audit Manager is anticipated to take up post in October 2018.</p> <p>The Head of Finance proceeded to present the Internal Audit Progress Report as at August 2018, focussing on the work of the Internal Audit Team, performance information and the Red and Red/Amber recommendations completed and outstanding.</p> <p>Members were asked to note that 4 auditors have been supported in their pursuit of the Institute of Internal Auditors qualification.</p> <p>RESOLVED – That the Audit Committee notes the contents of the report.</p>

Item ID	13557
Item Title	Investigation Team Progress Update 2018/19
Summary	RESOLVED – That the Investigation Team Progress Report be noted.

Item ID	13558
Item Title	Outstanding Actions
Summary	RESOLVED – That the outstanding actions be noted.

Item ID	13559
Item Title	Work Programme Update
Summary	The Committee considered its Work Programme. Members considered that it would be beneficial to receive a briefing on the authority's 'Brexit' Strategy.

Item ID	13537
Item Title	Urgent Items (if any)
Summary	No urgent items were received.

Item ID	13538
Item Title	Date of next meeting
Summary	The next meeting will take place on 13 November 2018.

**AUDIT COMMITTEE: 13<sup>th</sup> November 2018**

**UPDATE ON INTERNAL CONTROL ENVIRONMENT**

**REPORT OF DIRECTOR, PEOPLE & COMMUNITIES**

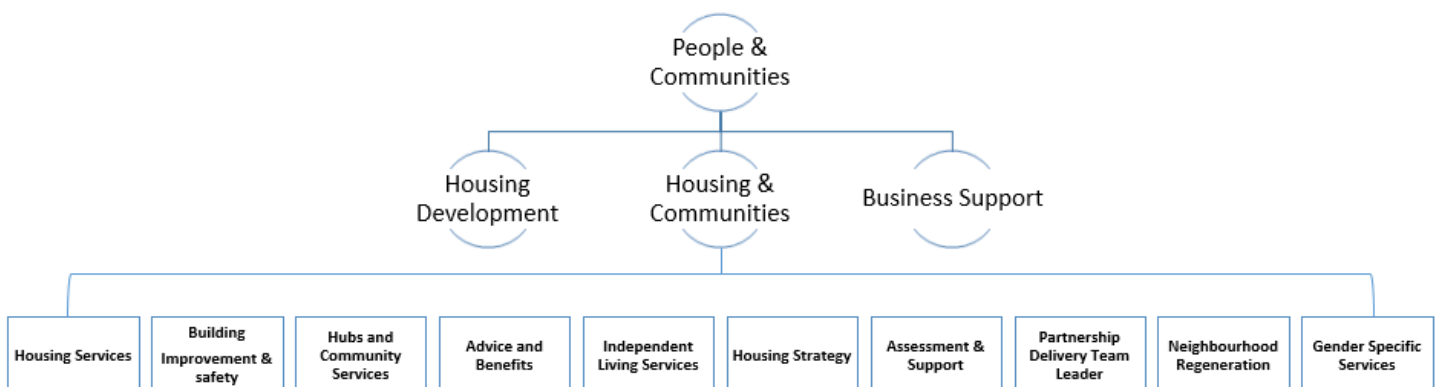
**AGENDA ITEM: 4.1**

**Reason for this Report**

1. This report has been produced in response to the Audit Committee's request for an update on governance and control within the Housing & Communities area of the People & Communities Directorate. This update is also to provide assurance on the implementation of the recommendations made by Internal Audit.

**Background**

2. Housing & Communities, within the People and Communities Directorate, provides a wide range of services to those who live, work or visit the City of Cardiff. Often these services are for the most vulnerable in Cardiff, whose needs can only be effectively met through joined-up delivery of services both with other Council departments and our partners. Appendix 1 includes the Directorate Delivery Plan that includes the directorate's profile, the self-assessment, delivery of the well-being objectives and strategic priorities.
3. The structure for the directorate is shown below.



4. Feeding into the overall Directorate Delivery Plan each section has their individual section plan and an example of one of the section plans is attached in appendix 2.
5. There is a full performance management framework in place to monitors the delivery of these services and the most recent A3 core data reporting is attached, as well as the full core data report in appendix 3.

## Issues

### Management / mitigation of the directorate's risks on the Corporate Risk Register

6. Both Corporate and Operational Risks are reviewed quarterly by the appropriate officer working with the Directorate Risk Champion, then the Corporate Director has sight of all risks before they are submitted to the Council's Principal Risk Officer. The Directorate Risk Champion works closely with the Principal Risk Officer throughout the year to ensure all Risks are appropriately managed. The Directorate has one risk on the Corporate Risk Register, Welfare Reform, which continues to be mitigated through a range of proactive services and will need constant monitor and review following the implementation of Universal Credit Full Service.
7. The Directorate has one escalated Risk, Fire Safety, which sits with Housing & Communities for Council Housing but also with Economic Development as the Corporate Landlord for Council Premises, for all other Council Buildings. Both areas provide updates to the Principal Risk Officer who amalgamates the information and shares it with the Council Senior Management Team.
8. Each Section under Housing & Communities have their own Operational Risk Register, which include the current Risks, with additional tabs to record Risks that have been deleted, escalated or deescalated.
9. Attached in appendix 4, includes the directorates Corporate Risk – Welfare Reform, the escalated risk in regard to Fire as well as an example of the operational risk register for Libraries & Hubs section.

### Senior Management Assurance Statement

10. The Senior Management Assurance statement is collated by the Directorate Business Support team and reviewed and signed off by the Corporate Director. The Directorate self-assessment indicates strong application across all areas of governance with Partnership governance, risk management and control as an area identified as mixed application, this reflects the focus given over the last 12 months to the alignment of partnership activity. Detailed programme and project briefs are now available or being developed but under the overall governance of the Public Services Board. The other area identified as mixed is the future generation's considerations as there is still some work to do to embed it at all levels.
11. The Directorate has seen improvements in the recent statement including strong application of Partnership Assurance through Quarterly Partnership Performance Reporting, and embedded monitoring of savings and income target delivery as a result of working very closely with Service Accountants to maintain a clear picture of all budget and spend throughout the year.

### Monitoring / implementing recommendations made in Internal Audit reports

12. All completed audits are sent to the Director and officers involved in the audit. Based on the findings the issues raised are either discussed at the People & Communities fortnightly SMT or the Housing & Communities Monthly SMT. Performance against compliance is monitored monthly as part of the core data reporting.
13. Audits completed during 2017/18 and to date in 2018/19 are:



Audit	Status	Assurance rating	Number of recommendations
Commissioning and procurement	Final report issued	Effective with opportunity for improvement	5
Effective decision making	Final report issued	Effective	0
Communities First	Final report issued	Effective	2
Governance	Final report issued	Effective	0
Payroll	Final report issued	Effective with opportunity for improvement	12

14. As at 22<sup>nd</sup> October 2018 of the 19 recommendations 18 have been completed there remains 1 recommendation that are still in process. Working with internal audit this will continue to be monitored through to completion.
15. It was particularly pleasing that audits in relation to governance and decision making within the directorate were reported as Effective with no recommendations identified. However, it is recognised that the due to the constantly evolving nature of the services that are being provided that these high standards with require continual reviewing to ensure they are maintained.

## RECOMMENDATIONS

1. That the Committee notes the contents of the report.

**Sarah McGill**  
**Corporate Director for People & Communities**  
13<sup>th</sup> November 2018

### Appendices

Appendix 1: Directorate Delivery Plan  
Appendix 2: Section Plan  
Appendix 3: Core Data  
Appendix 4: Risks

Mae'r dudalen hon yn wag yn fwriadol

# People & Communities:

Housing & Communities - delivery plan

2018/19



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WORKING FOR CARDIFF,  
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	Description	Pages
1.	Corporate Introduction	2
2.	Directorate Profile	4
3.	Directorate Self-Assessment of Performance	5
4.	Moving Forward: Context, Opportunities and Challenges	7
5.	Contributing to Cardiff's Well-being Objectives	8
6.	Delivering the Welsh Language Standards	12
7.	<b>Strategic Directorate Priorities</b> <ul style="list-style-type: none"> <li>• Delivering Improvement – progress and action</li> <li>• Dependencies</li> <li>• Risk Management</li> </ul>	14
8.	Appendix 1 – Financial and Workforce Profile	-
9.	Appendix 2 - Additional Directorate Key Performance Indicators	-

# Directorate Delivery Plan – People & Communities: Housing & Communities

## 1. Introduction

### 1.1 Golden Thread



## Directorate Delivery Plan – People & Communities: Housing & Communities

### 1.2 Directorate Delivery Plan (DDP)

With increasing pressure on many services the Council is responsible for, we must be clear about our priorities. The Council is doing this and the four key priorities are:

Our priorities:

- Working for Cardiff
- Working for Wales
- Working for the Future
- Working for Public Services

For each priority, a number of well-being objectives have been established; and for each well-being objective, high level “steps” and performance indicators have been identified.

### 1.3 Measuring Progress

To ensure there is clear accountability for delivering each objective, one or more Lead Member and Lead Director has been identified for each priority. The delivery of the Corporate Plan will continue to be monitored through the Council’s Performance Management Framework (PMF).

The alignment of monitoring and reporting cycles for finance and service performance information have strengthened the PMF and give greater visibility of the Council’s overall performance position – against which progress will be monitored on an ongoing basis

## Key Terms

### **The Well-being of Future Generations (Wales) Act**

- This Act is about improving the social, economic, environmental and cultural well-being of Wales.

### **The 7 Well-being Goals**

- To make sure all public bodies are working towards the same vision, the Act puts in place seven wellbeing goals.

### **City Wide Outcomes**

- Seven high level outcomes have been by agreed Cardiff’s Public Services Board partners
- Achieving these outcomes requires action across a range of organisations.

### **Council Priorities**

- The Council’s priorities recognise the most important areas that need to be addressed in the short to medium term.

### **Well-being Objectives**

- 7 Well-being Objectives have been identified across the 4 Priorities. These reflect specific areas where the Council wishes to see improvement and the specific outcome we want to achieve.

### **Steps**

- Steps are specific initiatives that the Council will undertake to deliver the Well-being Objectives and contribute to City Wide Outcomes.

### **Measuring Progress**

- Progress will be measured by a basket of indicators.

## 2. Directorate Profile

Housing & Communities, along with Housing Development, within the People and Communities Directorate, provides a wide range of services to those who live, work or visit the City of Cardiff. Often these services are for the most vulnerable in Cardiff, whose needs can only be effectively met through joined-up delivery of services both with other Council departments and our partners.

Face to Face advice and support is also available through the Hubs rolled out across the City, with Housing & Benefit advice available as well as partner organisations. The Hubs also include Library provision and there are also a number of standalone Libraries. A comprehensive range of library services are delivered which aim to improve the lives of Cardiff citizens through the delivery of reading, information, health, digital, cultural and children's learning opportunities across the City.

To support those out of work or to upskill people into better paid work, especially those affected by Welfare Reform changes, the Service Area delivers a range of support and courses through Adult Community Learning and the Into Work Advice Service. Adult Community Learning provides a broad range of adult learning opportunities across the City, with Learning for Work focused on those who are seeking employment, and Learning for life for those wanting to participate in learning as a recreational activity or for personal development. The Into Work Advice Service includes one to one support for CVs, Job Applications and universal job match as well as digital sessions and free accredited training courses. The team assist businesses with their recruitment needs including holding Jobs Fair events with guaranteed interview opportunities for jobseekers.

The Service Area provides a variety of services to support the most vulnerable people living in Cardiff. Preventative Services provides a whole range of teams who take a whole systems approach in helping older and disabled citizens of Cardiff to live independently in their own homes, reduce hospital admissions, speed up discharge from hospital and help them reconnect to their communities. Preventative Services also works closely with the 3rd Sector, Health services and community groups co-producing outcomes that matter to the citizens of Cardiff.

The Service Area also makes provision for the Homeless, including outreach work with Rough Sleepers, the provision of hostel spaces and other support services for the most vulnerable citizens. Council housing is provided to those most in need, with the Service Area managing 13,440 Council homes. Teams within the Service Area provide a full range of services for tenants including repairs, the turnover of properties that become vacant and maintaining the Welsh Housing Quality Standards across all stock. Teams within the Service Area also help over 36,000 households within Cardiff to pay their rent or Council Tax through payment of Housing Benefit and the Council Tax Reduction Scheme as well as managing a Discretionary Housing Payment fund, helping the most vulnerable people in Cardiff. The Service Area also provides a range of support and engagement services for Council tenants through Tenant participation. The Supporting People programme delivers housing-related support to vulnerable clients in a variety of settings, with the aim of maximising independence. Services are provided in house and by a range of partner support providers who are monitored to ensure the services provided are of a high quality.

As the City continues to grow, the Service Area is building more council homes both for rent and for our assisted home ownership scheme to help address the high housing need. We are exploring innovative construction methods and new ways of using our land and resources to deliver high quality, energy efficient homes more quickly. We have an overall target of building 2000 new council homes, of which 1000 must be delivered by 2022. In addition, the Service Area carries out regeneration works to improve neighbourhoods across the City, including estate regeneration schemes, neighbourhood renewal schemes, improvements to local shopping centres and community facilities, and community safety measures such as alley-gating.

### 3. Self-Assessment of performance during 2017-18

*Summary of Service Self-Assessment - what the Directorate has done well, what the Directorate could/should have done better, what the opportunities and challenges the Directorate faced*

**Housing Development** – As part of the Capital Ambition commitment 15 new homes have already been completed, through converted buildings and property purchases, 131 new homes are on site through Cardiff Living, with an additional 12 purchases going through the legal process for completion. 132 homes currently have planning approval, including Cardiff Living and other new builds.

**Landlord Services** – during 2017/18 Caretaking service have maintained clean and clears and both normal and offensive graffiti cleared within the target time throughout the year, with offensive graffiti targeted to be cleared within 24 hours of a report received. Anti-Social Behaviour has also performed well, with both urgent and non-urgent cases contacted within target time throughout the year. The average number of calendar days taken to let lettable units of permanent accommodation came down from 76 days in 2016/17 to 69 days in 2017/18, however this did fall short of the 65 day target.

**Benefit Cap** - The Welfare Reform Team work to reduce the impact on those affected. 175 (Feb 2018) clients have been supported to return to work since the benefit cap introduction in November 2016, 265 have attended both accredited and non-accredited training. 63% of benefit caps have been removed since 2013 due to returning to work and claiming working tax credits. 893 (Feb 2018) clients have received budgeting support and 244 (Feb 2018) are being worked with to become digitally included. Homelessness has been prevented for 78 (Feb 2018) households affected by the benefit cap.

**Homelessness** - 71% of households threatened with homelessness have been successfully prevented from becoming homeless, against a target of 50% for 2017/18. 204 rough sleepers have been assisted into accommodation during 2017/18, against a target of 144. In addition 69% of people experienced successful outcomes through the homelessness reconnection service, against a target of 50%.

**Preventative Services** – during 2017/18 97% of clients felt that Independent Living Services had improved their quality of life and 98% of clients felt able to remain living in their own homes more independently after intervention by Independent Living Services. 73% of clients were dealt with at First Point of Contact, against a target of 65%. In addition to this only 3% of First Point of Contact referrals are then passed to social care. Through the ENABLE system of delivering home adaptations, the process has been streamlined for delivering bath out shower in installations saving an average of 12 weeks. There has also been the development of a new section 33 agreement within Joint Equipment Services to create a level playing field in funding across the region to ensure all partners are meeting their commitments.



**Neighbourhood Regeneration** – during 2017/18 2 new community hubs, Llanedeyrn and Llanishen have been completed and Minehead Road Day Centre has also been improved. Estate regeneration schemes at Trowbridge Mawr and Hodges Square have been completed and work has commenced on the redevelopment of the Maelfa Shopping Centre. An estate regeneration programme has been developed, based on comprehensive assessment of environmental and social conditions across all Council estates. The Neighbourhood Regeneration team also gated, closed or improved 10 alleys or gullies, completed 12 regeneration projects and achieved 91% customer satisfaction with completed schemes.

**Libraries & Hubs** – during 2017/18 the new Heritage and Branch Library in Cathays was opened and a Heritage based events programme has also been developed. The library service has also showed improved performance against the Welsh Public Library Standards framework, with Cardiff ranked highest in Wales for visits per capita, virtual visits per capita and net cost per visit. Improvements were also made on attendance at training, informal training, active borrowers, attendance at events, the total number of volunteers and volunteer hours, the percentage of unplanned closures of static service points and the percentage of mobile/home deliveries missed. Libraries and Hubs also exceeded their target of 3,200,000 visits in the year, with 3,344,686 visits recorded in total for 2017/18.

**Advice Services & Adult Community Learning** - The Money Advice Team at Central Library Hub extended their service during 2017/18, providing outreach sessions at hubs and foodbanks across the city, in total the team has seen almost 17,000 people to provide information, guidance and advice. During these appointments almost £500,000 has been saved, easily reaching the target set for the year and almost £19 million in additional weekly benefit has been claimed, far exceeding the target of £12 million. Into Work Advice Services work to support people into work through work preparation workshops, accredited and non-accredited training and volunteering opportunities, during 2017/18 370 people were assisted into employment by the service. Adult Community Learning also run the Learning for Work programme, funded by Welsh Government, offering a range of flexible learning opportunities, designed to support individuals to take their first steps back into learning and to assist them to progress to further learning, training or employment. During 2017/18 there were 3,182 enrolments onto these courses, an increase of more than 300 compared to the previous year. Overall enrolments for the service increased by more than 600.

**Responsive Repairs** – during 2017/18 98% of emergency repairs carried out by the Responsive Repairs team were completed within the 24 hour target, beating the 95% target, the repairs reporting line achieved a 97% customer satisfaction rate.

**4. Moving Forward: Context, Opportunities and Challenges** *What the Directorate must take into account in planning future delivery*  
*Capital Ambition, contextual Information, changes in legislation, demographics, budget pressures, technology changes and any other factors that affect the environment in which you operate.*

**Welfare Reform** brings a wide range of changes which have significant implications for future housing and homelessness services. The roll-out of Universal Credit Full Service commenced on 28<sup>th</sup> February 2018 for new claims and change of circumstances accepted for households with less than three children. From 1<sup>st</sup> February 2019 it is proposed that this will be extended to new claims and change of circumstances accepted for households with three or more children. Finally from July 2019 to March 2022 with large scale migration of remaining claims over to Universal Credit. This is treated as a Corporate Risk and is reviewed regularly.

Definition of Risk	RAG Rating	Strategic Directorate Priority affected	Headline Action Reference
That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.		3. Supporting People out of Poverty	3.4 and 3.5

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**Integration of services** – the newly formed People and Communities Directorate brings together Social Services with all the services identified within this plan. There will be opportunities to further develop a joined up person centred service with seamless access to support, which will build on our preventative approach ensuring the right intervention at the right time.

**Funding Flexibilities** – The Funding Flexibilities Pathfinders Pilot for Cardiff brings together 10 existing funding streams totalling £33.7 million in annual grants. The current multiple interventions from specific funding has resulted in duplication, no cohesive entry into services or clear progression pathways. Innovative ways of working to align and achieve better outcomes for people have been applied and has a proven to make efficiencies through improved integrated commissioning or by direct delivery models. The flexibilities approach is a natural extension of the work that we have been doing in Cardiff to better align programmes at a local level.

## 5. Making the Connections - Contributing to Cardiff's Well-being Objectives

*The Well-being of Future Generations (Wales) Act is about improving the social, economic, environmental and cultural well-being of Wales. It will make the public bodies listed in the Act think more about the long-term, work better with people and communities and each other, look to prevent problems and take a more joined-up approach. The seven well-being goals ('the goals') show the kind of Wales we want to see and this section of the Plan shows how Housing & Communities along with Housing Development contribute towards these goals.*

### Cardiff is a great place to grow up

Within Housing & Communities a lot of work goes on to make Cardiff a great place to grow up. Our Preventative Services section hold intergenerational events with both older people and children, to help develop an understanding of the lives of older people in Cardiff. Libraries deliver a range of services and activities targeted for children to support the development of literacy skills from birth. The Bookstart initiative provides free books for children under 4 years old and all libraries deliver Storytime and Rhymetime for the same age group with some sessions delivered through the medium of Welsh. Activities like these also provide an opportunity for parents to meet up and share experiences, reducing feelings of social isolation. Libraries also work in partnership with Sports Cardiff, delivering free activities for school age children to promote physical literacy. These sessions are run in Ely, Grangetown, Llanrumney, Rumney and St Mellons Hubs. Neighbourhood Development Librarians attend the sessions run by Sports Cardiff in local schools to promote literacy and physical literacy. The Libraries also provide after school sessions and homework help with space to study. The library service also actively promotes the all Wales initiative 'Every Child a Library Member', this includes visits, library inductions and enrolling every child in year 4. During the summer Libraries actively promote the Summer Reading Challenge, which supports school age children to maintain their literacy skills during the school holidays by delivering a range of activities, which are actively promoted in all junior schools prior to the summer break. During 2017/18 7,511 children participated and 5,085 completed the challenge, an increase of 18%. Going into 2018/19 there is also the proposed development of youth hubs in both the City Centre and Butetown.

## Cardiff is a great place to grow older

Within Housing & Communities, the Preventative Services section works to make Cardiff a great place to grow older. The First Point of Contact within Independent Living Services, supports older people in Cardiff to live as independently as possible and improve their wellbeing. The service provides home visits which provide holistic support to help older people live more independently. Housing resettlement officers assisted with 115 hospital discharges that were identified as delayed transfers of care, 19 individuals identified as experiencing delayed transfers of care used step down accommodation, enabling them to leave hospital more quickly. The section also works with older people to combat social isolation, helping them connect with their communities through the Day Opportunities Team. Preventative Services work in partnership with health services, our local older sheltered accommodations and the 3<sup>rd</sup> sector to provide a range of social and health based services for older people in the local area, the 3<sup>rd</sup> sector is supported by Preventative Services to provide volunteer support to help older people with tasks including shopping, gardening, travel and domestic tasks. In collaboration with Hubs, Preventative Services have developed wellbeing Wednesday at hubs around the city, providing the opportunity for older people to take part in activities and events promoting community integration. Neighbourhood Regeneration are currently in the process of upgrading and re-modelling 3 day centres across the city, to provide quality day care facilities.

Two regular Dementia Cafes are running at Cardiff Central Library Hub, following consultation with Alzheimer's Society Cymru and their Service User review panel at Oldwell Court. The Cafes are a safe place for those living with Dementia, their families, carers and health professionals and provide information, signposting and peer support. In addition to this 86% of Library staff are trained as dementia friends, with the remaining few booked in for training during April 2018 and going forward awareness sessions will subsequently be a mandatory part of inductions. 4 Library staff are Dementia Champions and are qualified to carry out Dementia Friends sessions to colleagues and members of the public. A Parkinsons Café is also hosted monthly at Rhydypennau Library, with Parkinsons UK. The Library Service deliver housebound and mobile library services, supporting people who are unable to leave their homes or are in sheltered housing complexes and have limited mobility. There are 1,176 planned mobile stops each year and 80 people are visited by the Housebound Service.

## Supporting people out of poverty

Within Housing & Communities a lot of work goes on to support people out of poverty. An example of this is the work around the Benefit Cap, since the introduction of the cap in November 2016, 709 (Feb 2018) successful applications for Discretionary Housing Payments have been completed, in addition to this homelessness has been prevented for 78 (Feb 2018) households affected by the benefit cap. 197 (Feb 2018) clients have attended training and 175 clients have returned to work. Almost 1,000 (Feb 2018) home visits have been carried out to help households affected by the benefit cap and 188 (Feb 2018) Universal Jobmatch accounts have been opened. The homelessness service has worked closely with clients to prevent homelessness, with a success rate in 2017/18 of 58%. The Preventative Services holistic visits have provided income maximisation advice to more than 1,200 older people. The Money Advice Team at Central Library Hub have extended their service during the year to also provide outreach sessions at hubs and foodbanks across the city, in total the team has seen almost 17,000 people to provide information, guidance and advice. During these appointments almost £500,000 has been saved and almost £19 million in additional weekly benefit has been claimed. Into Work Advice Services work to support people into work through work preparation workshops, accredited and non-accredited training and volunteering opportunities, during 2017/18 370 people were assisted into employment by the service. Adult Community Learning also run the Learning for Work programme, funded by Welsh Government, offering a range of flexible learning opportunities, designed to support individuals to take their first steps back into learning and to assist them to progress to further learning, training or employment. During 2017/18 there were 3,182 enrolments onto these courses, an increase of more than 300 compared to the previous year.

## Cardiff has safe, confident and empowered communities

Housing & Communities work to build and maintain safe, confident and empowered communities. The Neighbourhood Regeneration Team works on regeneration projects such as the Maelfa redevelopment, as well as estate regeneration schemes and neighbourhood renewal schemes. The team also helped to remodel, refurbish existing buildings and even build new for the Community Hub Scheme, which provides a number of services including Into work advice, housing and benefit advice, library services, PC and phone access and partner organisations advice in communities across the city. The Building Improvement Unit and Responsive Repairs work to ensure the council housing stock is maintained to the Welsh Housing Quality Standard, carrying out repairs as required and planned gas servicing through the year.

## A Capital city that works for Wales

Housing & Communities provide support to people who have newly arrived in the city or country through the Library Service, who provide information to signpost them to local services, delivering Croeso, an annual welcome event for students from overseas, providing up to date material to support those undertaking the citizenship test. FAN (Friends and Neighbours) meet monthly in libraries and hubs across the city. The Libraries also deliver a literary and cultural programme of events, including the Crime & Coffee reading group, Open Spaces author talks, Chinese New Year, Japan Open Day, refugee week and Black History month.

## Cardiff grows in a resilient way

As the City continues to grow, Housing & Communities Housing Development Team is working in partnership with Wates as part of the Cardiff Living Scheme to build more homes and more council homes both for rent and for our assisted home ownership scheme to help address the high housing need. We are exploring innovative construction methods and new ways of using our land and resources to deliver high quality, energy efficient homes more quickly. We have an overall target of building 2000 new council homes, of which 1000 must be delivered by 2022. The Preventative Services Day Opportunities Team encourage volunteer opportunities to help people of working age to gain work experience and contribute to their communities. The Library service have developed Cathays Heritage Library, which will serve as the community memory of the people of Cardiff, enabling access to social and economic history sources that will help gain understanding of their past and prepare for their future.

## Modernising and integrating our public services

Housing and Communities are always working to modernise and integrate our services, an example of this is in Preventative Services, where the Independent living Centre is used as an assessment centre for partners across the region in Health, Social Care and Occupational Therapy. The service has also developed a mechanism, in partnership with Social Services and Care & Repair to provide a pathway for older people who need support with sensory impairments. Preventative Services has also created a service level agreement with the Fire Service for a cross service referral mechanism, where home safety checks are carried out by the fire service and any additional needs that are picked up can be passed to Preventative Services for holistic input, and Preventative Services can refer clients to the Fire Service for home safety checks. A new Disabled Facilities Grant framework has been introduced to improve service delivery times, reduce hospital admissions and speed up discharges. Housing and Communities also move to modernise and integrate services through the development of the Community hub network, with 11 hubs in priority neighbourhoods, the last of these is nearly complete and will be handed over during summer 2018. In line with this, Libraries strive to deliver services in safe, modern and fit for purpose buildings.

## 6. Delivering the Welsh Language Standards

Objective	Responsible Officer
<p><b>Forms &amp; Documents:</b> Conduct an audit to ensure that the following are bilingual: Agendas and minutes for meetings, conferences and seminars that are open to the public; Licences; Certificates; Brochures; Leaflets, pamphlets or cards; Policies, strategies, annual reports and plans; Guidelines, Codes of Practice and Rules; Press Statements, record your findings and prepare an Improvement Plan (or IACTs) to address any areas of non-compliance</p>	Sarah McGill
<p><b>Welsh Language Awareness:</b> Ensure that all staff with access to a PC complete the Welsh language awareness e-training on Cardiff Learning Pool site</p>	Sarah McGill
<p><b>Awarding Grants:</b> Ensure that all grantees are aware of the requirement to comply with the Welsh language standards in so far as they relate to the provision of the service(s) and record how the information has been circulated. Conduct an internal audit to ensure that grantees are aware of how the standards relate to their service and record the results including any additional improvement measures.</p>	Sarah McGill
<p><b>Education Courses:</b> Assess the need for all education courses to be delivered in Welsh and publish this information on the Council's website. Ensure that all staff responsible for arranging education courses are aware of the requirement to assess the need for the courses to be delivered in Welsh and evidence how this has been achieved.</p>	Sarah McGill
<p><b>Reception Services:</b> Identify all reception services and ensure that they are delivering bilingual services (or are aware of the process if no Welsh speaker is available) by conducting a mystery shopper exercise. Put measures in place to address any instances of non-compliance. Ensure that all staff are made aware of the Bilingual Reception Service Guidance.</p>	Sarah McGill
<p><b>Signs, Notices &amp; Display Material:</b> Conduct an audit to ensure that all existing signs are bilingual and create new Improvement Actions to address any instances of non-compliance. Ensure that all staff are aware of the requirement to have bilingual signs and notices with the Welsh text positioned first (all signs after 30th March 2016) and evidence how this has been achieved.</p>	Sarah McGill

Objective	Responsible Officer
<p><b>Websites, Online Services &amp; Social Media:</b> Conduct an audit to ensure that all websites are bilingual and put measures in place to address any instances of non-compliance. Ensure that all staff are aware of the requirement that all social media accounts must be bilingual and operate bilingually and record how this information has been circulated</p>	Sarah McGill
<p><b>Public Events:</b> Ensure that all public events organised or funded by us are bilingual by creating a checklist of the following bilingual requirements for each event: Publicity material, signage, audio announcements and services offered to persons attending the event and ensuring that accurate and up to date records are kept that each element is bilingual for each event.</p>	Sarah McGill
<p><b>Meetings:</b> Ensure that all staff are made aware of the Guidance for Holding Meetings and record how the information has been circulated. Conduct an internal audit to ensure that staff are aware of the guidance including offering language choice and arranging a simultaneous translator as required. Record the results of the audit including additional improvement measures for any non-compliance found.</p>	Sarah McGill
<p><b>Telephone Calls:</b> Ensure that all staff have received and are aware of the process for dealing with Welsh language calls and record how the information has been circulated. Conduct an internal audit to ensure that staff are following the agreed process as specified in the guidance including answering the phone bilingually and transferring correctly. Record the results of the audit including additional improvement measures for any non-compliance found.</p>	Sarah McGill
<p><b>Correspondence:</b> Create a data-base of an individual's language choice (Welsh/English) and /or ensure that you have a process in place for recording language choice e.g. SAP CRM. Please record the database or process you have in place. Conduct an audit to ensure that all standard letters and emails are sent bilingually and include a statement regarding language choice. Record the results of the audit including additional improvement measures for any noncompliant letters and/or emails.</p>	Sarah McGill



## 7. Strategic Directorate Priorities

### Summary of Priorities – Statement of what we are trying to achieve

	Strategic Directorate Priority	Cabinet Member(s)	Directorate Lead	Contributing to:	
				Well-being Goal	Council Priority
1	Cardiff is a Great Place to grow up	Councillor Sarah Merry	Louise Bassett	A Prosperous Wales, A Healthier Wales, A More Equal Wales	Working for Cardiff
2	Cardiff is a Great Place to grow older	Councillor Susan Elsmore	Carolyne Palmer/Chris O'Sullivan	A Prosperous Wales, A Healthier Wales, A More Equal Wales	Working for Cardiff
3	Supporting People out of Poverty	Councillor Susan Elsmore / Councillor Lynda Thorne	Ian Ephraim/Helen Evans/Louise Bassett/Ellen Curtis	A Prosperous Wales, A Healthier Wales, A More Equal Wales	Working for Cardiff
4	Safe, Confident and Empowered Communities	Councillor Lynda Thorne	Natalie Southgate/Don Davidson/Louise Bassett/Nicola Pitman	A Wales of Cohesive Communities	Working for Cardiff
5	Cardiff's Population Growth is managed in a Resilient Way	Councillor Lynda Thorne	Dave Jaques	A Resilient Wales	Working for the Future

## 8. Individual Priorities

**Strategic Directorate Priority 1:**  
Cardiff is a Great Place to grow up

### Dependencies

No.	Description of dependency	Headline Action
1.1	Effective partnership working and buy in from the community	1.1
1.2	Sustainable partnership funding for the organisation	1.2

### Commitments to Action - what key actions will we take to achieve our improvement priority?

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 1.1	<b>Pilot a “Children First” approach</b> during 2018/19 to join up multi-agency preventative services and funding in order to improve early help to children and families in a specific locality in the city.	April 2018	March 2019	Louise Bassett	Q1: Complete service mapping to understand Service Access and Availability in the Ely and Caerau area.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Identify and develop responses to unmet need in early intervention and preventative approaches/interventions at a local level.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Develop a first point of contact model for families that is linked to the interventions available in the locality.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Pilot a new approach to joining up multi agency services in the Ely and Caerau area.	

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
DDP 1.2	Support the Credit Union to deliver “savers projects” within Cardiff Schools that encourages saving and promotes financial literacy.	April 2018	March 2019	Louise Bassett	Q1: Maintain current member and volunteer numbers while supporting more primary and secondary schools to develop school savers club through a targeted campaign.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Undertake partnership sessions with the Credit Union to raise the awareness of the school savers clubs and recruit new volunteers.	
					Q3: Undertake partnership sessions with the Credit Union to raise the awareness of the school savers clubs and recruit new volunteers.	
					Q4: New school savers clubs set up in Primary and Secondary schools and an increase in new members and new volunteers is delivered.	

## Delivering improvement – ‘progress and action’

**Strategic Directorate Priority 2:**  
Cardiff is a Great Place to grow older

### How will we measure our progress against this priority?

Ref	Key Performance Indicators	2016-2017 Result	2017-2018 Result	2018-2019 Target	2019-2020 Target	Owner
CP	The percentage of new cases dealt with directly at First Point of Contact (FPOC) with no onward referral to Adult Services	New	73%	72%	72%	Carolyne Palmer
CP	The percentage of clients who felt able to live independently in their homes following support from the Independent Living Services	New	New	95%	95%	Carolyne Palmer
CP	The average number of calendar days taken to deliver a Disabled Facilities Grant (from first contact to payment date)	200	179	185	180	Carolyne Palmer
CP	The percentage of people who feel reconnected into their community, through intervention from day opportunities.	New	77%	70%	80%	Carolyne Palmer

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### Dependencies

No.	Description of dependency	Headline Action
2.1	Effective partnership working	2.2, 2.4
2.2	Input from stakeholders, community interest	2.5

## Commitments to Action - what key actions will we take to achieve our improvement priority?

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 2.1	<p>Empower people to remain independent at home and reduce reliance on intensive interventions by preventing hospital admissions, accelerating safe hospital discharge and supporting assisted living. Key activities will include:</p> <ul style="list-style-type: none"> <li>Promoting the First Point of Contact Service to prevent unnecessary hospital admissions</li> </ul>	April 2018	March 2019	Carolyne Palmer	Q1: Undertake an analysis of the referrals received during the previous year to ascertain the target areas for promotion.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Use the analysis carried out during Q1, and additional areas of focus identified through the population needs assessment, promote the First Point Of Contact to both the public and professionals.	
					Q3: Arrange awareness sessions in partnership with Hubs and Libraries to give information and advice to local communities, focusing on services available to prevent the need for hospital admissions.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Analyse and evaluate the impact of the promotion to determine the objectives required for the following year.	
CP 2.2	<p>Empower people to remain independent at home and reduce reliance on intensive interventions by preventing hospital admissions, accelerating safe hospital discharge and supporting assisted living. Key activities will include:</p> <ul style="list-style-type: none"> <li>Developing a First Point of Contact (hospitals) to integrate more effectively hospital discharge</li> </ul>	April 2018	March 2019	Carolyne Palmer	Q1: Work with Social Services to identify aims and create a project brief, identifying current services that may link into the discharge process impacting on the Local Authorities. Liaise with University Hospital of Wales/University Hospital of Llandough and St. David's discharge teams to arrange mapping of the current discharge process.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Map the current Integrated Discharge Service, and supporting services around discharge, at the University Hospital of Wales/University Hospital of Llandough and St. David's sites, comparing different approaches at site and identifying good/bad practice.	

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
					<p>Q3: Map the role of the Community Resource Team and support for discharge, as well as the role of the Social Worker within the Hospital. Evaluate the impact of Social Worker presence and determine the full role of the current contact officers in University Hospital of Wales and University Hospital of Llandough and links to patient discharge and Social Worker.</p> <p>Q4: Evaluate the outcome of the work carried out during Quarters 2 and 3 and map a proposed "To Be" process. Identify the physical and technical resources required to meet the need. Identify 3 wards to trial the new process and evaluate the impact.</p>	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
CP 2.3	<p>Empower people to remain independent at home and reduce reliance on intensive interventions by preventing hospital admissions, accelerating safe hospital discharge and supporting assisted living. Key activities will include:</p> <ul style="list-style-type: none"> <li>Extend the scope of services in Independent Living Services</li> </ul>	April 2018	March 2019	Carolyne Palmer	<p>Q1: Determine the next direction of Independent Living Services around the locality function including wraparound prevention in the community; Hospital discharge; prevention of admittance; slips, trips and falls; frailty nurses and supporting informal carers.</p> <p>Q2: Identify existing services and synergies with the aims of Independent Living Services, identify any duplication or complimentary elements to the Independent Living Services vision.</p> <p>Q3: Map the relevant service and draw up proposed benefits of how the service will contribute to the preventative agenda and pathways to prevention.</p> <p>Q4: Carry out the consultation process to move/change services to include within the scope of Independent Living Services.</p>	<p>Meet our Specific Equality Duties and build equality into everything we do</p> <p>Provide support to those who may experience barriers to achieving their full potential</p> <p>Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity</p>

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 2.4	Deliver the older person's strategy to support independent living, including fully understanding their housing needs and aligning work between Communities, Health and Social Services.	April 2018	March 2019	Chris O'Sullivan	Q1: Continue to develop the Older Person strategy with input from Health, Social Services and other partners.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Ensure Consultation takes place, to feed into final version for Cabinet approval.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Develop Action plans for the "We Wills", from the Strategy, in conjunction with Health, Social Services and other partners. Set up initial working group meetings for action plans.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Formulate a board and working group, to have a cohesive approach to implementing and aligning the work between Communities, Health and Social Services, and ensure first actions are undertaken.	
CP 2.5	<b>Address social isolation and enhance quality of life of older people</b> by developing intergenerational working within schools, community groups, leisure centres and private sector partners.	April 2018	March 2019	Carolyn Palmer	Q1: Identify key internal and external stakeholders to form a working group to address social isolation in older people, with a focus on building community cohesion. Once established, the group will outline a set of collective objectives to be achieved over the year.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Develop, agree and implement a plan to host a number of community based intergenerational events across the city in association with identified partners.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Finalise event planning and host Intergenerational Events within localities in Cardiff.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Evaluate outcomes and establish sustainability for future Intergenerational working building on the provisions already existing within the community.	

## Delivering improvement – ‘progress and action’

### Strategic Directorate Priority 3: Supporting People out of Poverty

How will we measure our progress against this priority?

Ref	Key Performance Indicators	2016-2017 Result	2017-2018 Result	2018-2019 Target	2019-2020 Target	Owner
CP	The percentage of people who experienced successful outcomes through the Homelessness Reconnection Service	New	68.84%	70%	70%	Ian Ephraim
CP	The number of rough sleepers assisted into accommodation	New	204	168	170	Ian Ephraim
CP	The percentage of clients utilising Housing First for whom the cycle of homelessness was broken.	New	New	50%	50%	Ian Ephraim
CP	Percentage of households threatened with homelessness successfully prevented from becoming homeless	New	71%	70%	70%	Andrea James
CP	The number of people receiving into work advice through the Gateway	42,579	42,343	43,000	43,500	Helen Evans
CP	The number of clients that have been supported into Employment having received tailored support through the Gateway	New	New	623	650	Helen Evans
CP	The number of employers that have been assisted by the council's employment support service	100	118	125	140	Helen Evans
CP	Number of customers supported and assisted with their claims for Universal Credit	681	679	1,500	1,700	Helen Evans
CP	Additional weekly benefit identified for clients of the City Centre Advice Team	£11,995,475	£15,259,881	£16,000,000	£16,500,000	Helen Evans

### Dependencies

No.	Description of dependency	Headline Action
3.1	Positive publicity and public buy in	3.1
3.2	Effective Partnership working and employer relationships	3.2
3.3	Effective partnerships, WG pilot - outcome of findings	3.3
3.4	Stakeholder involvement	3.4
3.5	Successful development of a website and database	3.5



## Commitments to Action - what key actions will we take to achieve our improvement priority?

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 3.1	<p>Deliver the Rough Sleeper Strategy to <b>address rough sleeping in the city</b> by:</p> <ul style="list-style-type: none"> <li>Implementing a 'No First Night Out' policy.</li> <li>Piloting new approaches, including a 'Housing First' model which moves rough sleepers straight from the streets into a home.</li> <li>Delivering the Give DIFFerently campaign</li> </ul>	April 2018	March 2019	Ian Ephraim	Q1: Continue to publicise the Give DIFFerently campaign to businesses and the general public following the full launch in March 2018. This will include case studies to generate rolling news on the positive impact the funding can make.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Bring all additional pod and night shelter spaces into use and develop a process to make sure the availability for direct placements is always available for Outreach staff. Ensure the Housing First pilot reaches full occupancy.	Provide support to those who may experience barriers to achieving their full potential
					Q3: To complete and implement processes aimed at reducing the number of repeated presentations to Gateway (breaking the cycle of homelessness) with attached performance measures.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: To review the effectiveness of the new accommodation initiatives to inform future funding.	
CP 3.2	<p><b>Better support people into work by integrating employment support services.</b> This will include:</p> <ul style="list-style-type: none"> <li>Developing a new gateway into employment and mentoring services accessible across the city,</li> <li>Ensuring that Into Work Advice Services and Adult Community Learning fully aligns with the new employability service</li> <li>Providing effective employer engagement and assistance into self-employment.</li> <li>Promoting and extending volunteering opportunities</li> </ul>	April 2018	March 2019	Helen Evans	Q1: New Employability Services fully operational with robust, monitored referrals set up to and from Adult Community Learning to Into Work Advice Services.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Pop Up Business School coming to Cardiff, in partnership with Wates and Registered Social Landlords, supporting over a hundred people looking for self-employment.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Central jobs fair to be held in Cardiff with more than 40 employers attending.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Look at further funding opportunities to expand the volunteering opportunities currently provided, to include other Directorates.	

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 3.3	Use the new opportunities provided by Funding flexibilities to work across departments and funding streams, reviewing and realigning services.	April 2018	March 2019	Louise Bassett	Q1: Map each Grant Programme under the Funding Flexibilities Pilot: Aims and Objectives, Performance Indicators, Key Metrics, Demand Pressures, Outcome Measures and consider which inputs, output and outcomes measures are useful to retain.	Meet our Specific Equality Duties and build equality into everything we do  Provide support to those who may experience barriers to achieving their full potential  Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q2: Map delivery mechanisms and timelines for each Grant Programme: Contracted Services, Grants/Service Level Agreements, Direct Delivery, Service Access and Availability.	
					Q3: Map and review: Strategic relevance to the council, wellbeing and area plan, Review evidence base, Review service user & stakeholder consultations, Identify synergies between the services delivered, Identify links to mainstream services and other provision provided by Public Services or Partner Organisations. Identify key themes / Develop new high level outcomes framework.	
					Q4: Report progress on Pilot Projects focused on Themes/Priorities using funding flexibilities and undertake a review and report on initial findings of the funding flexibilities pilot. Report Achievements and Lessons Learned.	
CP 3.4	To ensure support is available to mitigate the roll out of Universal Credit, to include <ul style="list-style-type: none"> <li>The provision of digital access and assistance across the city</li> <li>Working with private landlords to identify how the Council can help them with the change</li> <li>Working with Job Centre plus, Social Landlords and other partners to ensure that vulnerable</li> </ul>	April 2018	March 2019	Helen Evans	Q1: Implement new advice lines for customers and a dedicated landlord line to call for help with Universal Credit and other enquiries.	Meet our Specific Equality Duties and build equality into everything we do  Provide support to those who may experience barriers to achieving their full potential
					Q2: Expand support for Universal Credit across the city to include libraries, hubs and other community locations. Co-locating services with the 2 Job Centre Plus offices in Cardiff.	
					Q3: Monitor Personal Budgeting Support and Assisted Digital Support numbers, ensuring join up with Job Centre Plus Social and Private Landlords. Looking at venues of support and amending if required.	

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
	<p>individuals get the budgeting support they need.</p> <ul style="list-style-type: none"> <li>The development of an advice telephone line for customers</li> </ul>				Q4: As rollout opens to all families, ensure that publicity is created and partners and stakeholders briefed around this. Support for these larger families will need to be tailored to their needs (including those who are affected by the benefit cap and now claiming Universal Credit).	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
DDP 3.5	Delivering an integrated employment support service including Into Work Advice Services, Adult Community Learning and the Employability Grant.	April 2018	March 2019	Helen Evans	<p>Q1: Adult Community Learning and new employability services to be managed by same management structure to ensure total join up.</p> <p>Q2: New Employability service to include the Gateway, city wide mentoring, new website and one database to be operational.</p> <p>Q3: Create a programme of training from September with Adult Community Learning and into work which complements each other and eliminates any duplication of courses.</p> <p>Q4: Review success and outcomes and amend as required.</p>	<p>Meet our Specific Equality Duties and build equality into everything we do</p> <p>Provide support to those who may experience barriers to achieving their full potential</p> <p>Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity</p>
DDP 3.6	To mainstream the Accommodation Solutions Team to ensure innovative ways forward are used when tackling the overcrowding and under occupation of council properties and ensuring that best use of our stock is maintained.	April 2018	March 2019	Ellen Curtis	<p>Q1: Review team structure and recruit to new posts.</p> <p>Q2: Develop policies and procedures ensuring innovative ways are considered whilst ensuring best use of council stock.</p> <p>Q3: Brief staff on changes to procedures and implement.</p> <p>Q4: Review out comes and how team can continue to improve on providing solutions for complex housing cases.</p>	<p>Meet our Specific Equality Duties and build equality into everything we do</p> <p>Provide support to those who may experience barriers to achieving their full potential</p>

## Delivering improvement – ‘progress and action’

### Strategic Directorate Priority 4:

Safe, Confident and Empowered Communities

How will we measure our progress against this priority?

Ref	Key Performance Indicators	2016-2017 Result	2017-2018 Result	2018-2019 Target	2019-2020 Target	Owner
CP	Council staff completing the Level 1 online module of the National Training Framework on violence against women, domestic abuse and sexual violence as a percentage of all staff	New	9.9%	100%	100%	Natalie Southgate
CP	The percentage of customers satisfied with completed regeneration projects.	85%	91%	70%	70%	Don Davidson
CP	The number of visits (hits) to the volunteer portal	New	New	50,000	60,000	Louise Bassett
CP	The number of visitors to Libraries and Hubs across the City	3,241,038	3,344,686	3,300,000	3,300,000	Bev King
CP	The percentage of customers who agreed with the statement “Overall the Hub met my requirements/I got what I needed”	99%	98%	95%	95%	Bev King

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## Dependencies

No.	Description of dependency	Headline Action
4.1	Cabinet approval for Regional Strategy	4.1
4.2	Effective stakeholder engagement	4.1, 4.3
4.3	Successful bidding for Welsh Government funding	4.2
4.4	Effective partnership working	4.5

## Commitments to Action - what key actions will we take to achieve our improvement priority?

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 4.1	Help <b>prevent violence against Women, Domestic Abuse and Sexual Violence</b> by developing a regional strategy, implementing the newly commissioned services for female victims and exploring a regional service for male victims by Summer 2018	April 2018	March 2019	Natalie Southgate	Q1: Launch the new service for female victims and publicise widely. Seek Cabinet approval for the Regional Strategy. Hold a stakeholder workshop to explore requirements for a male victims service.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Implement the regional strategy action plan and monitor progress. Draft a service specification for a male victim service. Review progress of the new female victim service.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Begin tender process for male victims service. Review progress of the new female victim service.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Award contract for male victim service and manage any transition arrangements. Review progress of the regional strategy and the new female victim service contract.	
CP 4.2	Invest in the regeneration of local communities by: <ul style="list-style-type: none"> <li>Complete the further development of the Butetown Pavilion</li> <li>Completing a new retail parade of 9 shop units as part of the Maelfa redevelopment by Spring 2019.</li> <li>Launching a further round of the Neighbourhood Renewal Schemes programme by Autumn 2018.</li> <li>Explore opportunities for further long term investment through the Targeted Regeneration Investment Programme</li> </ul>	April 2018	March 2019	Don Davidson	Q1: Identify opportunities for bids under the Welsh Government Targeted Regeneration Investment Programme.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Invite Ward Members to submit Neighbourhood Renewal Scheme proposals.	Support wide access to Council information and environments, and participation in Council Services
					Q3: Complete the New Maelfa shopping centre.	Provide support to those who may experience barriers to achieving their full potential
					Q4: Implement alterations to Butetown Pavilion.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 4.3	<p><b>Deliver phase 2 of the neighbourhood partnership scheme</b> to</p> <ul style="list-style-type: none"> <li>Give people a voice in shaping Council services and</li> <li>Better connect people with local service providers and activities in their neighbourhoods.</li> </ul>	April 2018	March 2019	Louise Bassett	Q1: Develop proposal that provides hands on support for individuals and local groups based in the 4 Hub districts.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Undertake mapping exercise of local community organisations/groups/activities in each Hub district to build local networks/knowledge. Hold at least 1 awareness raising/networking/consultation event in each Hub.	Support wide access to Council information and environments, and participation in Council Services
					Q3: Fully mobilise the new approach to community involvement/participation. Develop and publish a Community Involvement Plan.	Support wide citizen consultation and engagement with the Council and the decisions it makes
					Q4: Undertake Stakeholder Engagement and Community Consultation on priorities for 2019/20. Feed local information gathered into a city wide information and advice database.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
CP 4.4	<p>Continue to develop the <b>Community Hub and Well-being programme</b> in collaboration with the University Health Board and other partners. Activities include:</p> <ul style="list-style-type: none"> <li>Completing the extended St Mellons Community Hub by Summer 2018</li> <li>Work with partners to investigate other Hub projects.</li> </ul>	April 2018	March 2019	Don Davidson	Q1: Complete the St Mellons Phase 2 Extension.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Agree plans with the University Health Board for the Cardiff Royal Infirmary Chapel library provision	Support wide access to Council information and environments, and participation in Council Services
					Q3: Agree delivery programme for the Domestic Abuse facility at the Cardiff Royal Infirmary Health & Well-Being Hub.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Develop plans for improvement of Library buildings.	

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 4.5	Continue to develop the <b>Community Hub and Well-being programme</b> in collaboration with the University Health Board and other partners. Activities include: <ul style="list-style-type: none"> <li>Developing additional library based hub facilities</li> </ul>	April 2018	March 2019	Nicola Pitman	Q1: Develop strategic vision for the development of Hub Services within Libraries.	Meet our Specific Equality Duties and build equality into everything we do  Support wide access to Council information and environments, and participation in Council Services  Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q2: Identify local needs and collaborate with the Health board and other partners to identify priority groups within the City particularly establishing gaps in wellbeing activity.	
					Q3: Develop and commence delivery of an event programme and health support strategy in association with the University Health Board, as well as additional health related partners – linking in with national campaigns and localised health priorities.	
					Q4: Deliver a range of additional services from the libraries.	
CP 4.6	Continue to develop the <b>Community Hub and Well-being programme</b> in collaboration with the University Health Board and other partners. Activities include: <ul style="list-style-type: none"> <li>Develop a network of youth service hubs</li> </ul>	April 2018	March 2019	Jane Thomas/Don Davidson	Q1: Develop proposals for the City Centre Youth Hub and for the better use of Butetown Pavilion.	Meet our Specific Equality Duties and build equality into everything we do  Support wide access to Council information and environments, and participation in Council Services  Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q2: Finalise plan including any necessary building works.	
					Q4: Seek additional funding if possible to support the Youth Hub projects.	
					Q4: Commence procurement of any necessary building works.	

## Delivering improvement – ‘progress and action’

**Strategic Directorate Priority 5:**  
Cardiff’s Population Growth is managed in a Resilient Way

How will we measure our progress against this priority?

Ref	Key Performance Indicators	2016-2017 Result	2017-2018 Result	2018-2019 Target	2019-2020 Target	Owner
CP	The total number of new council homes provided	New	15	200	400	Dave Jaques

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### Dependencies

No.	Description of dependency	Headline Action
5.1	Funding and successful completion of phase 1 of Cardiff Living to enable phases 2 and 3 to progress	5.1
5.2	Funding and the availability of suitable sites	5.2
5.3	Effective partnership working with Wates	4.4



## Commitments to Action - what key actions will we take to achieve our improvement priority?

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
CP 5.1	<b>Deliver at least 2,000 new council homes, of which at least 1,000 will be delivered by May 2022.</b>	April 2018	March 2019	Dave Jaques	Q1: Ensure that the two 'Innovative Housing Projects' using shipping containers are started on site and that Welsh Government funding can be drawn down for these schemes. Achieve a start on site for 16 new council homes at Caldicot Road.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Implement a Council Housing new -build policy and procedures document setting out the council's new-build ambition and the parameters within which 2,000 new homes will be delivered.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Review and agree the high-level financial viability and numbers of properties to be delivered through Phases 2 & 3 of the Cardiff Living Programme. Including a report to Cabinet on progress overall programme delivery.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Ensure that there are an adequate number of development sites identified to deliver 1,000 new council homes by 2022 and at least 2,000 in the longer-term.	
DDP 5.2	Continue to explore and implement Innovative housing models	April 2018	March 2019	Dave Jaques	Q1: Obtain approval to implement the AECOM/Rogers Stark Harbour & Partners innovative housing model and investigate ways to undertake a wider procurement for an off-site volumetric system across a range of sites.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Completion of the Greenfarm hostel shipping container scheme.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Obtain planning permission for the AECOM/Rogers Stark Harbour & Partners sites.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Identify a solution for the Thornhill Road site and submit a planning application for this development.	able to celebrate Cardiff's diversity

Ref	Headline Actions	Start Date	End Date	Responsible Officer	Key Milestones during 2018-2019	Link to Equality Objective
DDP 5.3	Updating of the Local Housing Market Assessment and completion of the area matrix for affordable housing	April 2018	March 2019	Dave Jaques	Q1: Confirm brief for Local Housing Market Assessment update and agree work plan for completing the area matrix.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Draft updated Local Housing Market Assessment. Review the Low Cost Home Ownership Scheme and agree changes required.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Complete updated Local Housing Market Assessment and report to senior managers. Once approved send updated Local Housing Market Assessment figures on housing need to partners.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Complete the AREA MATRIX for all wards and complete the overhaul of the Low Cost Home Ownership Scheme.	
DDP 5.4	Continue to deliver the Cardiff Living programme of development with partner Wates	April 2018	March 2019	Dave Jaques	Q1: Ensure Walker House scheme starts on site and release the marketing for the Low Cost Home Ownership Scheme units at Braunton Road.	Meet our Specific Equality Duties and build equality into everything we do
					Q2: Ensure that Snowden Road & Wilson Rd schemes start on site. Begin the marketing for the Low Cost Home Ownership units at Willowbrook West.	Provide support to those who may experience barriers to achieving their full potential
					Q3: Ensure a start on site for Highfields and take handover of the first 30 council units.	Build strong cohesive communities where people feel safe, and able to celebrate Cardiff's diversity
					Q4: Ensure Ty-Newydd starts on site and receive handover of a further 40 council units. Ensure we have planning approvals for the schools sites to complete appropriations.	

- **Domestic Abuse Multi Agency Hub £1,150,000** - Development of a facility for victims of violence, domestic abuse and sexual violence.
- **Travellers Site Expansion £450,000** - Match funding in order to increase the number of pitches - Subject to successful grant award
- **Targeted Regeneration Investment Programme £100,000** - Match funding towards a WG three year programme for the region - Subject to successful grant award
- **Butetown Pavilion £596,000** - Create a new hub in order to offer an increased range of services.
- **City Centre Youth Hub £220,000** - Improve existing facilities in the City Centre to create a multi-agency youth hub.

In addition to the through the Housing Revenue Account the Directorate will also deliver a £42 million public housing capital programme

- **Regeneration and Area Improvement Strategies £2,400,000** - Environmental works including defensible space, demolition, conversion and road/footpath realignment; energy efficiency schemes; improvements to flats, garages, gullies and open spaces.
- **External and Internal Improvements to Buildings £15,000,000** - Improvements include central heating, fencing, roofing, high rise cladding, door entry systems, kitchens and bathrooms, CCTV and improvements to sheltered housing.
- **New Build Council Housing / Acquisition £21,975,000** - Develop or acquire new housing and land in order to increase the level of affordable housing.
- **Hub Developments £350,000** - Public housing contribution to complete hub scheme at St Mellons.
- **Disabled Facilities Service £2,300,000** - Adaptations and associated improvements to the homes of disabled persons.

Mae'r dudalen hon yn wag yn fwriadol



# Preventative Services

## Service Plan

### 2018/2019

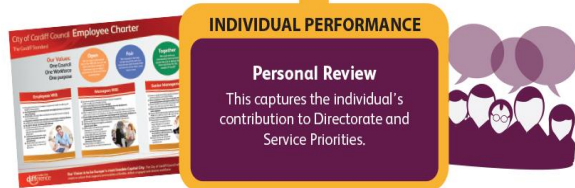
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Gweithio dros Gaerdydd, gweithio gyda'n gilydd  
Working for Cardiff, working together



# Corporate Plan Commitments



Deliver the older person's strategy to support independent living, including fully understanding their housing needs and aligning work between Communities, Health and Social Services.

Address social isolation and enhance quality of life of older people by developing intergenerational working within schools, community groups, leisure centres and private sector partners.

Empower people to remain independent at home and reduce reliance on intensive interventions by preventing hospital admissions, accelerating safe hospital discharge and supporting assisted living. Key activities will include:

- Promoting the First Point of Contact Service to prevent unnecessary hospital admissions
- Developing a First Point of Contact to support people to leave hospital safely and in a timely manner.
- Piloting new approaches to Locality Working



# Preventative Services Delivery Plan Commitments

Empower people to remain independent at home and reduce reliance on intensive interventions by preventing hospital admissions, accelerating safe hospital discharge and supporting assisted living. Key activities will include:

- Promoting the First Point of Contact Service to prevent unnecessary hospital admissions
- Developing a First Point of Contact (Hospitals) to integrate more effective hospital discharge.
- Extend the scope of services in Independent Living Services

**Address social isolation and enhance quality of life of older people** by developing intergenerational working within schools, community groups, leisure centres and private sector partners.

Respond to the Parliamentary Review of Health and Social Care in Wales, which makes the case for reforming Wales' health and care system; particularly the way care and support is provided.



# Preventative Services Key Performance Indicators

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
The percentage of new cases dealt with directly at First Point of Contact (FPOC) with no onward referral to Adult Services	72%	73%	72%
The percentage of clients who felt able to live independently in their homes following support from the Independent Living Services	95%	New	95%
The average number of calendar days taken to deliver a Disabled Facilities Grant (from first contact to payment date)	190	179	180
The percentage of people who feel reconnected into their community, through intervention from day opportunities.	70%	77%	80%

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**Working for Cardiff**

**Working for Wales**

**Working for the Future**

**Working for Public Services**





# Preventative Services Delivery Plan Milestones

Preventative Services Commitments	Quarter	Milestones
<b>Promoting the First Point of Contact Service to prevent unnecessary hospital admissions</b>	1	Undertake an analysis of the referrals received in the previous year to ascertain the target areas for promotion.
	2	Using the information gathered in Q1 and additional areas of focus identified through the population needs assessment promote the FPOC to both public and professionals
	3	In partnership with the locality HUB's and libraries, arrange awareness sessions to give information and advice to the local communities specifically focusing on services available which will prevent the need for hospital admissions
	4	Analyse and evaluate the impact of the promotion to determine the objectives required for the following year
<b>Developing a First Point of Contact (hospitals) to integrate more effectively hospital discharge</b>	1	Q1: Meet with Social Care determine what we want to achieve, create a project brief and identify current services that do and may link into discharge process impacting on the LA's. Liaise with UHW/UHL and St. Davids discharge to allow access to map current discharge process
	2	Q2: map the current IDS, and supporting services around discharge, at the UHL/UHW and St.Davids sites, compare different approaches at site, identify good/bad practice
	3	Q3 Map the role of the CRT and support for discharge. Map the role of the Social worker within the Hospital. Evaluate impact of SW presence, determine the full role of the current contact officer's in UWH and UHL links to patient/discharge and SW-
	4	Evaluate the outcome of Q2&Q3, map a proposed "To Be" process, identify the resources both physical and technical needed to meet the need. Identify 3 wards to trial the new process and evaluate the impact.

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# Preventative Services Delivery Plan Milestones

Preventative Services Commitments	Quarter	Milestones
<b>Extend the scope of services in Independent Living Services</b>	1	Determine the next direction of ILS specifically around the locality function, wrap around prevention in the community, Hospital discharge, prevention of admittance slips trips, fall, frailty nurses, supporting informal carers.
	2	Identify existing services and synergies to the objective of ILS, identify any duplication, complimentary elements to the ILS vision
	3	Map the relevant service draw up proposed benefits on how the service will contribute to the preventative agenda and pathways to prevention.
	4	Consultation process to move/change services to include into the ILS scope.
<b>Address social isolation and enhance quality of life of older people by developing intergenerational working within schools, community groups, leisure centres and private sector partners.</b>	1	Identify key internal and external stakeholders to form a working group to address social isolation in older people with a focus on building community cohesion. Once established the group will outline a set of collective objectives to be achieved over the year
	2	Develop, agree and implement a plan to host a number of community based intergenerational events across the city in association with identified partners.
	3	Finalise event planning and host Intergenerational Events within localities in Cardiff
	4	Evaluate outcomes and establish sustainability for future Intergenerational working building on the provisions already existing within the community

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# The First Point of Contact

The First Point of Contact Team are a team of multi-skilled telephony officers who are the first point of contact for new referrals into the Independent Living Service and Social Care.

The officers will work in partnership with the client to support them to identify and remove barriers which may be preventing them from reaching their well-being goals.



# Team Commitments/Measures

Team Commitments	Quarter	Milestones
Promoting the First Point of Contact Service to prevent unnecessary hospital admissions	1	Undertake an analysis of the referrals received in the previous year to ascertain the target areas for promotion.
	2	Using the information gathered in Q1 and additional areas of focus identified through the population needs assessment promote the FPOC to both public and professionals
	3	In partnership with the locality HUB's and libraries, arrange awareness sessions to give information and advice to the local communities specifically focusing on services available which will prevent the need for hospital admissions
	4	Analyse and evaluate the impact of the promotion to determine the objectives required for the following year
Ensure all referrals into the First Point of Contact Team are appropriate to enable the service to manage future increases in demand	1	Meet with Operational Development team to discuss the current recording mechanisms of calls and referrals into FPOC and establish improvements that can be made. Create an agreed action plan
	2	Undertake a review of MITEL and the functions available to the team which will improve methods of recording and reporting the types of calls received into the service
	3	Using new recording mechanisms for calls and referrals received develop reports. Undertake an analysis of the reports to identify trends
	4	Using the information gathering in Q3 arrange a series of awareness and training events to internal and external referrers to ensure they are appropriate and relevant



# Team Commitments/Measures

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Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
The percentage of new cases dealt with directly at First Point of Contact (FPOC) with no onward referral to Adult Services	72%	73%	72%



# Independent Living Visiting Team

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The Independent Living visiting team are a team of multi skilled officers who visit clients in their home to undertake holistic assessments in order to identify solutions to support clients in removing any barriers preventing them from living Independently. The team also undertake financial assessments for Domiciliary and Residential Care and Disabled Facilities Grants.



# Team Commitments/Measures

Team Commitments	Quarter	Milestones
Integrate and develop the Older Persons floating support provision into Independent Living Services	1	Recruit Older Person's community support officer and deliver a full induction and training programme
	2	Undertake a handover of all appropriate cases outstanding with previous provider and begin taking referrals through the supporting people gateway
	3	Undertake an analysis of referrals and outcomes to ensure appropriate and delivering against the preventative agenda
	4	Evaluate outcomes and delivery mechanisms and create action plan for development in the coming year
Create a robust Service Level Agreement between Preventative Services and The Adult Services Finance Team	1	Service leads to meet to establish scope and requirements of Service Level Agreement and agree the content format
	2	Draft Service level agreement and consolidate service area requirements
	3	Content finalised and OM approval agreed
	4	Business as usual

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
The percentage clients who felt able to live independently in their homes following support from Independent Living Services	95%	NEW	95%



# The Day Opportunities Team

Encouraging and enabling older people and those with physical disabilities to participate with community opportunities and activities including discovering new ways of removing barriers that prevent community participation. Day opportunities will support and work collaboratively with a range of agencies to build community capacity at local level across Cardiff for older and disabled people to access.





# Team Commitments/Measures

Team Commitments	Quarter	Milestones
<b>Address social isolation and enhance quality of life of older people</b> by developing intergenerational working within schools, community groups, leisure centres and private sector partners.	1	Identify key internal and external stakeholders to form a working group to address social isolation in older people with a focus on building community cohesion. Once established the group will outline a set of collective objectives to be achieved over the year
	2	Develop, agree and implement a plan to host a number of community based intergenerational events across the city in association with identified partners.
	3	Finalise event planning and host Intergenerational Events within localities in Cardiff
	4	Evaluate outcomes and establish sustainability for future Intergenerational working building on the provisions already existing within the community
Streamline systems to create a more efficient service there for improving service delivery	1	Undertake an analysis of working practices to establish areas of improvement and develop action plan to address these areas.
	2	Establish a working group to address areas for improvement
	3	Pilot new way of working with a small selection of staff and report of improvements of outcomes if applicable
	4	Review objectives to ensure they were effective in improving service delivery. Identify actions required to continue to develop



# Team Commitments/Measures

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Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
The percentage of clients who felt able to live independently in their homes following support from Independent Living Services	95%	NEW	95%
The percentage of people who feel reconnected to their community, through intervention from day opportunities	70%	77%	80%



# Disabled Facilities Service

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Disabled Facilities provide a means tested grant service providing adaptations in clients homes. All home adaptations are professionally planned in partnership with the Occupational Therapy Service. Works improve movement around the house allowing access to rooms and facilities, overseen with strict quality control and deadlines for minimum inconvenience.



# DFS Commitments/Measures

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Team Commitments	Quarter	Milestones
Develop and Implement a charging policy for DFG's	1	Undertake Benchmarking with a number of other Authorities
	2	Set up a system to incorporate DFG's within the legislation Guidance.
	3	Ensure a written procedure is in place and staff are informed.
	4	Set up mechanics for recovery of charges.
Develop and update the RRO for use of adaptations	1	Re-visit existing RRO & Services
	2	Establish meetings to scope out new inclusions
	3	Review the current RRO to enhance DFG deliver, ensuring we compliment existing services
	4	Implement any new amendments and evaluate after 3 months
Develop a process to ensure the need for hardcopies is significantly reduces and we are working towards a paperless system.	1	Pilot the use of Dell tablets on site to reduce the need for PO's to carry hard copy documents.
	2	Develop and introduce a management report to facilitate paperless process to support authorising approvals and payments
	3	Fully reviewing current internal DFG Processes and Procedures with the view to moving towards a more automated and efficient way forward.
	4	Identify grant applicants that wish to communicate by electronic means. Consider the method of data capture.



# DFS Commitments/Measures

Team Commitments	Quarter	Milestones
Reduce the time taken to complete adaptation work below the current KPI to achieve the new target time of 190 days.	1	Identify and implement milestones to positively impact upon service delivery time
	2	Ongoing monitoring
	3	Ongoing monitoring
	4	Ongoing monitoring
Review the process and criteria associated with the delivery of paediatric adaptations to reduce the overall time taken to deliver adaptations	1	Examine historical cases to identify any significant causes which protracted the case and draft a timeline of events.
	2	Draft a specific paediatric criteria document (subject to availability of OT resource). (2 a) Subject to OT availability. Alternative proposal to employ consultant specifically for this task.
	3	Explore opportunities to involve parents/ carers earlier in the process.
	4	Identify and implement process for definitive sign off by parents/ carers in order that work may be progressed within the statutory timeline.
Working towards identifying alternative case management systems that meet DFS objectives	1	Draft an SOR
	2	Undertake Market Research to identify any off the shelf products that are currently available.
	3	Liaise with other identified users of potential software.
	4	Come up with a summary of options available to present to OM and ICT

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
The average number of calendar days taken to deliver a Disabled Facilities Grant (from first contact to payment date)	190 Days	177 ( As at Q3)	



# Occupational Therapy

The Cardiff Community Occupational Therapy team (CCOT) provide a city-wide service to people over the age of 18 with substantial and permanent disabilities, some of whom may also have a learning disability or mental health problem. This service also provides preventative interventions for people with low level needs to negate the need to receive commissioned care.

The OT staff visit people in their own homes and undertake a holistic assessment to ascertain the problems and difficulties that a person (or their family/carers) are experiencing. Through illness, ageing or disability the person may be prevented from doing the things that they want or need (their “occupations”) such as getting dressed, having a shower, accessing the community etc. The team also undertake manual handling assessments and provide advice and equipment to carers to reduce risk and ensure the safe moving and handling of people in their own home. The team will also undertake reviews of peoples packages of care to ensure that they are right sized and meeting the identified needs on a care plan. The team are also involved with the assessment of peoples housing needs and work closely with the Allocations Team and Cardiff Accessible Housing.



# Occupational Therapy Commitments/Measures

Team Commitments	Quarter	Milestones
To implement the new Well-Being referral, proportionate assessment and Specialist OT Assessment forms.	1	Forms to be built into Care First Relevant training to be completed
	2	Initial implementation of forms Ongoing training
	3	Evaluation of system and processes and necessary changes implemented
	4	All forms to be fully operational
To consider potential for amalgamation of OT Contact Team with FPOC	1	Tom Narborough (TN) to undertake scoping of FPOC Mo Smith to visit Newport Council to view their current Contact Team and their processes/procedures
	2	TN to undertake scoping of Contact OT Team
	3	Options analysis to be produced
	4	Appropriate/necessary changes to be implemented



# Occupational Therapy Commitments/Measures

Team Commitments	Quarter	Milestones
To undertake a review of the Occupational Therapy staffing structure, processes, and procedures in order to enhance the efficiencies of the team and make it sustainable for the future.	1	Workshops and data gathering exercises to establish current methods of working and identification of “quick win” efficiencies
	2	Continue with workshops and data gathering exercises. To set up and pilot scheme that will allow ENABLE shower prescribers to draw up a template of required adaptations to negate the need for Project Officer involvement.
	3	Undertake any necessary consultations with staff, trade unions, recruitment process etc.
	4	Implementation of new staffing structure and amended processes and procedures. Evaluation of service.

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
Actual financial savings from the Review OT Tam	£200,000	£156,056 (As at Q3)	
Cost avoidance savings from the Review Team	£300,000	£243,189 (As at Q3)	
Number of OT referrals received	3800	2,851 (as at Q3)	





# Joint Equipment Store

The Joint Equipment Service is a working example of how integration between Social Services and Health can provide a service that is bigger than the sum of it's parts. This three way partnership between Cardiff & Vale UHB and the Councils of Cardiff and the Vale of Glamorgan provides equipment to residents to enable them to live as independently as possible in their own homes for as long as possible. The service also provides equipment in a timely fashion to enable patients to be discharged home from hospital. The service then continues to support and maintain this equipment while in the residents home in order that they might remain supported in a community setting as opposed to any institutional one.



# JES Commitments/Measures

Team Commitments	Quarter	Milestones
Introduction of a SNWDD (Same/Next Working Day Delivery) service to address issues around urgent equipment deliveries and to further support the work of the clinical teams.	1	Service commences
	2	Monitor and report against targets set in consultation with Health partners
	3	Monitor and report against targets set in consultation with Health partners
	4	Monitor and report against targets set in consultation with Health partners
Introduction of an all new IT management system accessible by all partners. Introduction of a paperless system for driver/installers	1	Order raised to preferred supplier and initial scoping meetings completed
	2	Project plan agreed and commences
	3	New system goes live!
	4	Monito and review

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
% of deliveries completed within 5 working days	76%	76%	80%
Cost avoidance of using recycled equipment	£100k	£100k	£120k



# Accommodation Solutions

Accommodation Solutions work in partnership with the UHB to assist with discharge for patients with housing related issues that delay them going home. Also providing 7 step down accommodations throughout the city as an interim solutions for patients to be discharged from hospital who are awaiting adaptations or rehousing.

In 18/19 the service will develop to provide a more qualitative approach by providing support that enables people to be better supported in the transition from hospital to home, by connecting the client to services that will provide the autonomy for further independence in their homes, within their communities and reduce the potential for readmission.



# Team Commitments/Measures

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Team Commitments	Quarter	Milestones
Further develop the accommodation solutions service to meet the changing demographic and assist patients in going home to a safe, prepared environment and ensure wellbeing needs are met.	1	Recruit into accommodation Support Officer post to enable greater support in the transition from Hospital to Home
	2	Enhance service for new Step Down Coordinator to provide support at UHL
	3	Ongoing Service Delivery
	4	Evaluate Service Outcomes, Demand and review client feedback
To assist health in discharging patients from hospital whose discharge is related to a housing related issue.	1	Ongoing Delivery of Service plus training new of Accommodation Support Officers
	2	Ongoing Delivery plus establishing ASO in UHL
	3	Ongoing Delivery
	4	Evaluate Service Outcomes.

Performance Indicator	Target 2018/19	Result 2017/18	Next Year's Target 2019/20
Number of patients assisted with discharge	110	95 at end of Q3	
Bed Days Avoided Through use of Step Down	1100	1021 at end of Q3	



# City of Cardiff Council Employee Charter

The Cardiff Standard

**Our Values:**  
One Council  
One Workforce  
One purpose

## Open

We are open and honest about the difficult choices we face, and allow people to have their say on what's important to them and their communities

## Fair

We champion fairness, recognising that with less resource we need to prioritise services for those that need them most

## Together

We work with our communities and partners across the city to deliver the best outcomes for the people of Cardiff

### Employees Will:

1. Participate in the Council's employee engagement, health & wellbeing and flexible working agendas
2. Actively participate in the development and implementation of our future ways of working
3. Work flexibly and adapt skills and attitudes to meet the Council's changing and developing needs
4. Proactively contribute views and ideas and participate in finding solutions
5. Identify personal learning & development needs & opportunities
6. Be open to change, new ideas and challenge
7. Actively participate in Personal Performance and Development Reviews and take personal responsibility to get things done
8. Understand the Council's vision, values and priorities and work towards these
9. Ensure services are delivered in a way that reflects our Values and Behaviours



### Managers Will:

1. Promote an environment that encourages employee engagement, health & wellbeing and flexible working
2. Ensure meaningful and constructive dialogue with employees, Trade Unions & Equality Networks in the development and implementation of our future ways of working
3. When making decisions, consider the long term and Council wide impact of changes to services and its effect on the workforce, including the identification of skills requirements
4. Ensure timely, two way communication and engagement, encouraging employees to express their views & ideas eg team meetings, one-to-ones, briefings, etc
5. Provide guidance & access to targeted learning & development opportunities
6. Actively encourage and support a continuous improvement culture
7. Demonstrate commitment to performance management, recognising and acknowledging good performance & dealing fairly with poor performance
8. Provide clear & visible leadership in accordance with the values and behaviours of the Council
9. Ensure services are delivered in a way that reflects our Values and Behaviours



### Senior Management will:

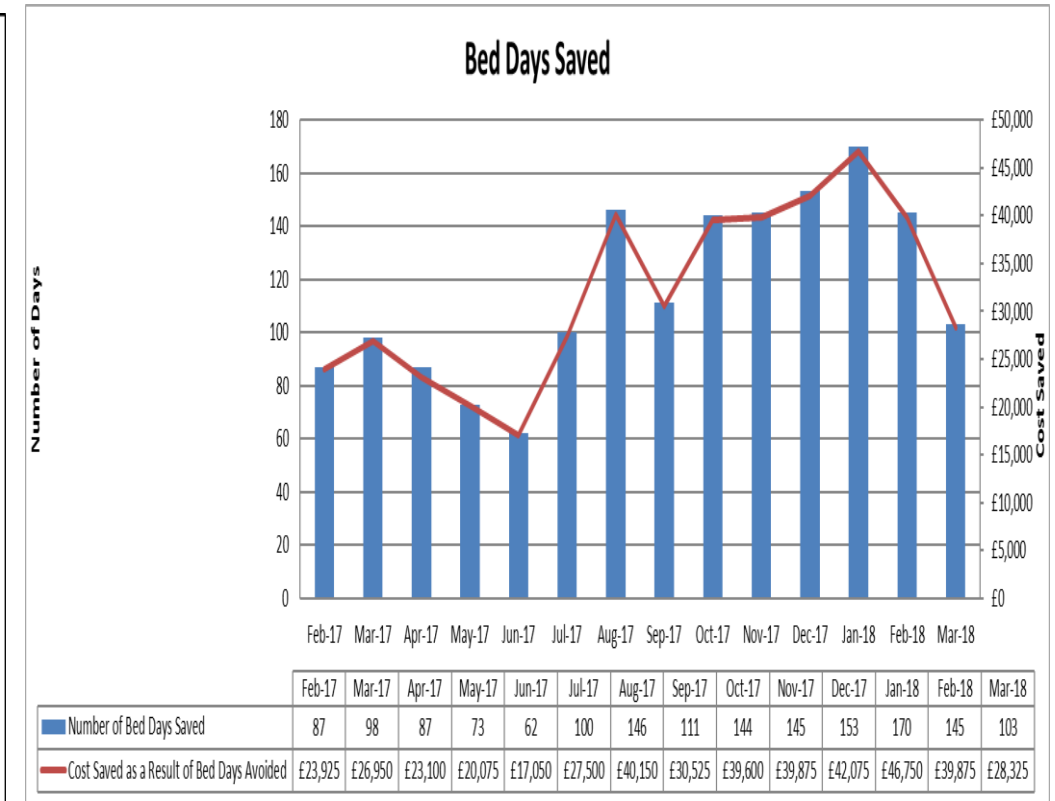
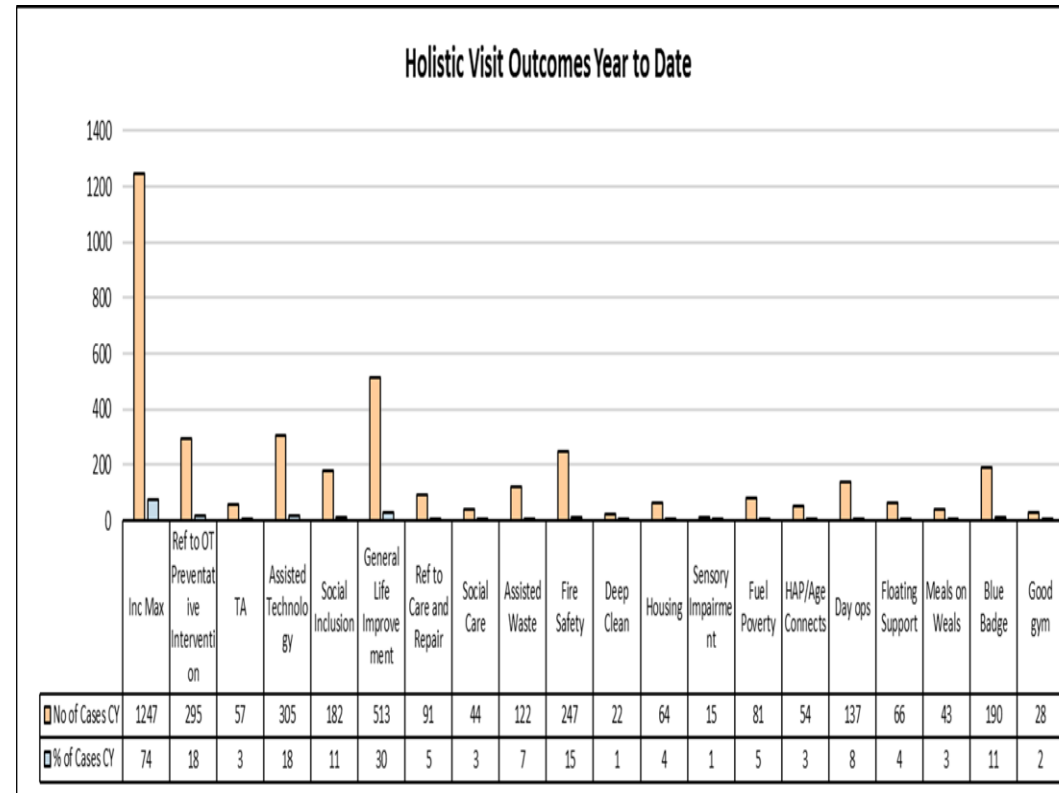
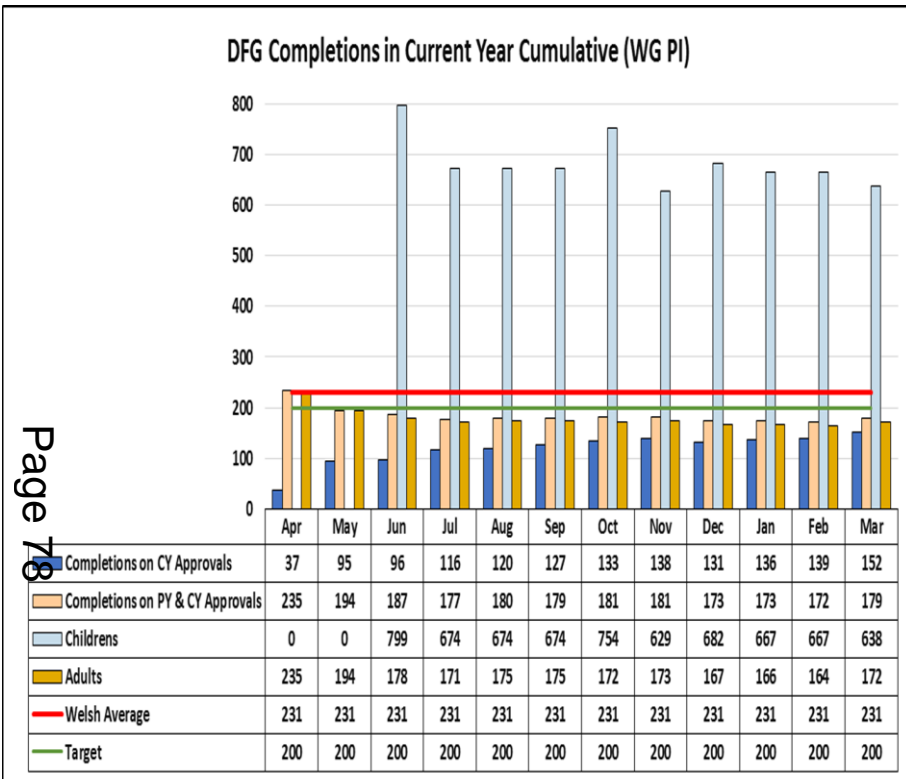
1. Provide an environment that supports employee engagement, health & wellbeing and flexible working
2. Ensure employees, Trade Unions & Equality Networks have a key role in the development and implementation of our future ways of working
3. Ensure that the Council has the right people with the right skills in the right place at the right time and at the right cost
4. Ensure timely and two way communication and engagement with employees
5. Produce Directorate Development Plans based on the outcomes of the PPDR which addresses future skill requirements
6. Drive a continuous improvement culture
7. Demonstrate commitment to performance management and ensure Managers are equipped with the skills to manage employee performance
8. Provide clear & visible leadership in accordance with the values and behaviours of the Council
9. Ensure services are delivered in a way that reflects our Values and Behaviours



# Preventative Services (DFS & ILS) – March

## High Level Performance Indicators – Month / YTD results

Corporate Plan					Directorate Delivery Plan				
% of new cases dealt with directly at First Point of Contact with no onward referral to Adult Services		Total Number of alternative solution outcomes provided by First Point of Contact and Independent Living Visiting Officers that help people remain independent at home.		% of people who feel reconnected into their community through intervention from day opportunities.		Average number of calendar days taken to deliver a Disabled Facilities Grant (from first contact to payment date)		Average number of calendar days taken to deliver low cost adaptation works in private dwellings where the Disabled Facilities Grant process is not used.	
Target – 65%	<b>72.17%/73.08%</b> QTR 4/YTD	Target - 3,900	<b>1957/6551</b> QTR 4/YTD	Target – 60%	<b>100%/Month</b> <b>77%/YTD</b>	Target - 200	<b>188/182</b> QTR 3/YTD	Target - 35	<b>39.10/40.50</b> QTR 4/YTD



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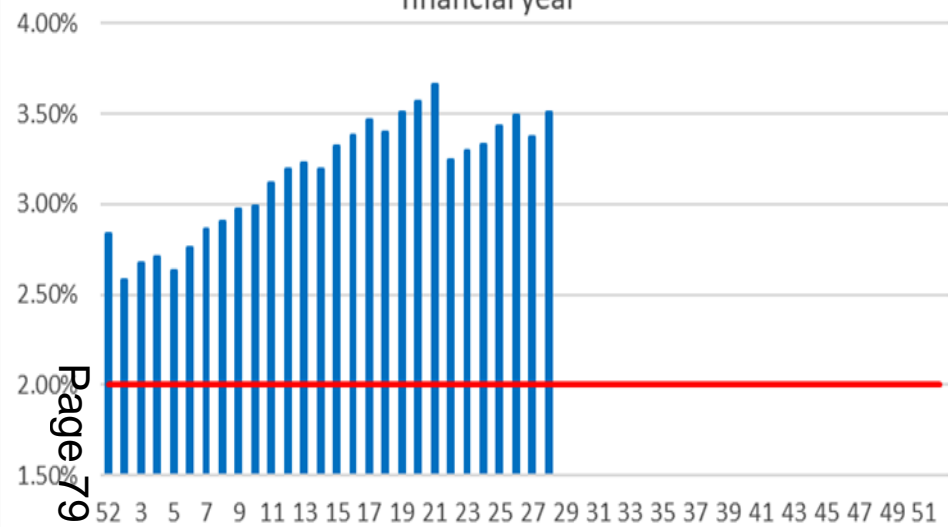
<p><b>In Month: Disabled Facilities Grant</b></p> <ul style="list-style-type: none"> <li>2 Urgent Referrals were received</li> <li>106 Standard Referrals were received in February.</li> <li>The average cost of a mandatory Grant was <b>£6,278</b> (T - <b>£6,500</b>, Welsh Average <b>£8,000</b>)</li> </ul>	<p><b>First Point of Contact</b></p> <ul style="list-style-type: none"> <li>1,461 Inbound Calls Offered</li> <li>1,497 Outbound Calls Made</li> <li>Answer Rate - <b>95%</b> (T – <b>92%</b>)</li> <li>Information and Advice Resolved Within FPOC - <b>78%</b> (T – <b>60%</b>)</li> <li>Information and Advice Resolved Outside FPOC – <b>22%</b> (T – <b>40%</b>)</li> </ul>	<p><b>ILS Visiting Officer Performance</b></p> <ul style="list-style-type: none"> <li>Number of Holistic Visits Completed – <b>163</b></li> <li>Total Number of Visits Including Holistic, DFG, Dom, Res, Nursing, Respite - <b>351</b></li> </ul>	<p><b>Preventative Intervention</b></p> <ul style="list-style-type: none"> <li>77 Requests Received</li> <li>Average number of working days to Completion – <b>40</b> Working Days (T – <b>35 Working Days</b>)</li> </ul>	<p><b>Housing Resettlement Officers</b></p> <ul style="list-style-type: none"> <li>Number of cases where an HRO provided intervention – <b>19</b></li> <li>Total Number of Assisted Discharges with Direct HRO Involvement – <b>8</b> of which <b>8</b> were DETOC</li> </ul>	<p><b>Joint Equipment Service</b></p> <ul style="list-style-type: none"> <li>Total amount of referrals received by the JES Loan Service – <b>2,507</b></li> <li><b>68%</b> of Joint Equipment Service referrals received were completed within 5 days (T-70%)</li> <li>Cost avoidance of using Recycled equipment (YTD figure): <b>£113,537</b></li> <li>Hospital discharge assisted via the Joint Equipment Service Occupational Therapist in March - <b>4</b></li> </ul>	<p><b>Occupational Therapy Reviews</b></p> <ul style="list-style-type: none"> <li>Actual Cost Avoidance through reduced packages of care due to Occupational Therapy intervention – <b>YTD £326,181</b></li> <li>Actual savings implemented from reviewed care plans – <b>YTD £207,000</b></li> </ul>
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## Landlord Services – September 2018

### In Month:

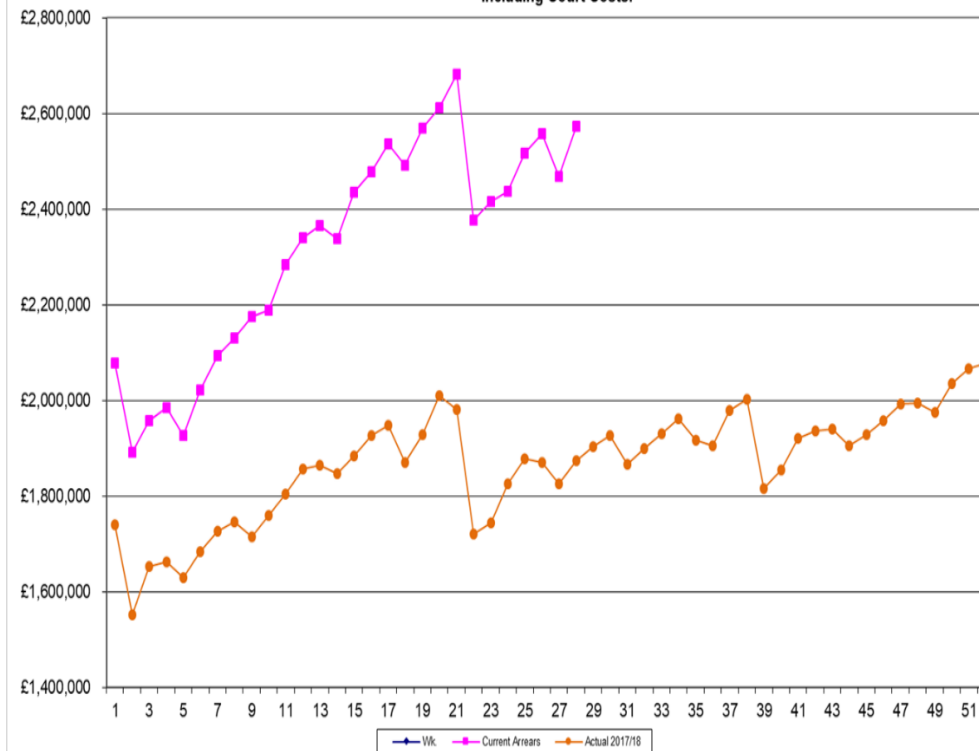
<p><b>91</b> average calendar days taken to let lettable units of permanent accommodation during the financial year (Target 80)</p>	<p><b>1.6%</b> Vacant Local Authority stock as percentage of overall stock (Target 1.5%)</p>	<p><b>100%</b> of Abandoned Property Processes completed on time. (Target 95%)</p>	<p><b>99%</b> - Urgent Antisocial Behaviour Cases contacted within 1 working day (Target 95%)</p>	<p><b>92%</b> -Blocks visited for cleaning on date due (Target 90%)</p>	<p><b>1.41%</b> The Percentage of rent lost due to properties being empty (PAM)</p>
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The total amount of rent arrears owed by current tenants as a percentage of the total rent collectable for the financial year

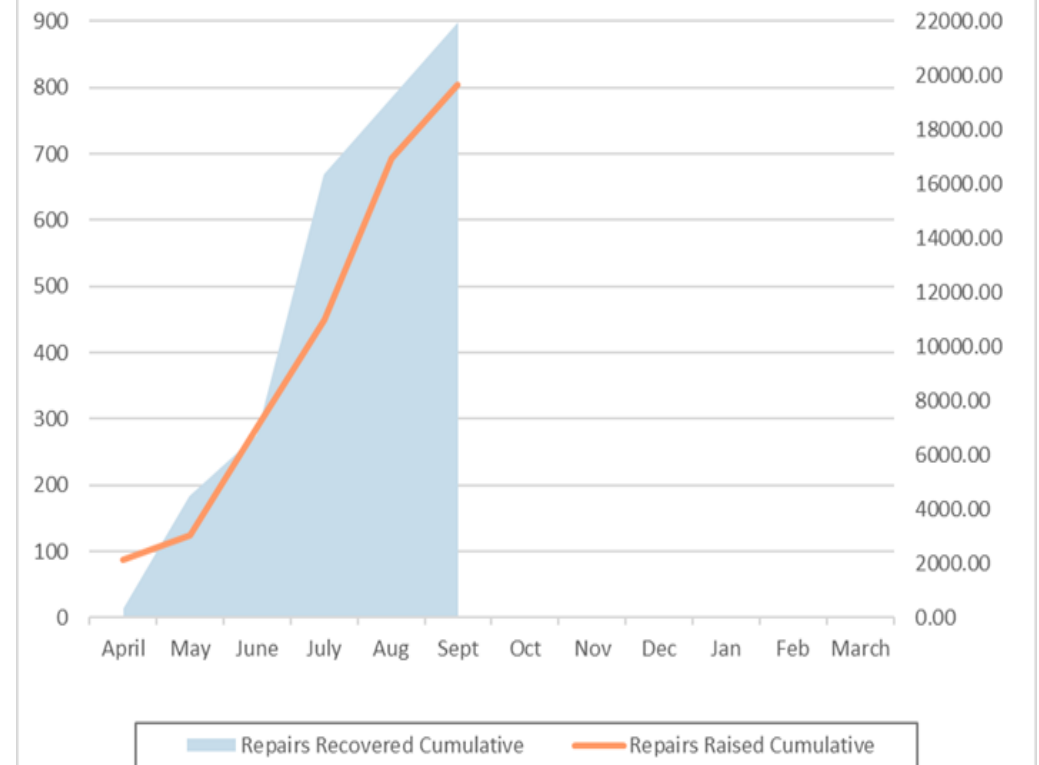


■ The total amount of rent arrears owed by current tenants as a percentage of the total rent collectable for the financial year  
— Target

CITY AND COUNTY OF CARDIFF  
OVERALL CITY ARREAR TOTAL AND TARGET FOR 2018/2019  
Including Court Costs.



Rechargeable Repairs 2018/19



#### Rechargeable Repairs

- **110** rechargeable repairs raised in month
- **£2829.96** recovered in month

#### Tenancy Management

- **29** Proactive Visits
- **13** Active Hoarder cases
- **1** TEN LH Processes started
- **11** TEN Noise Referrals started
- **172** Overdue Gas overall active cases, **35** abatement notices served, **70** visits carried out **4** warrant obtained, **0** warrant executed.

#### Tenancy Fraud

- **35** outcomes of referral from the Hotline recorded
- As a result **5** tenant made contact (Unable to Prove) and **19** At Property (Evidence provided).

#### Leasehold Services Month/YTD

- **0/11** Houses sold
- **0/1** Flats Sold

#### Caretaking Services

- **1,486** blocks due and **24.9%** inspected by supervisor (T – 20%)
- **100%** of **498** Clean & Clear jobs completed within 10 working days(T- 95%)
- **45** Property and Garden visits carried out
- **96%** of normal graffiti and **100%** of offensive graffiti reported was cleared on time (T – 90%)

#### ASB

- **295** new referrals received in month.
- **100%** of non-urgent cases contacted within **5** working days (T – 95%)

#### Voids

- SLU letting time **13** days (T – 15)
- **226** current voids
- **92** days for VMU Overall turn around (T – 30)

#### Proactive Visits

- **29** visit carried out so far this year (T – 2,000)
- **0** this month were Garden/Property condition.

#### Land And Asset

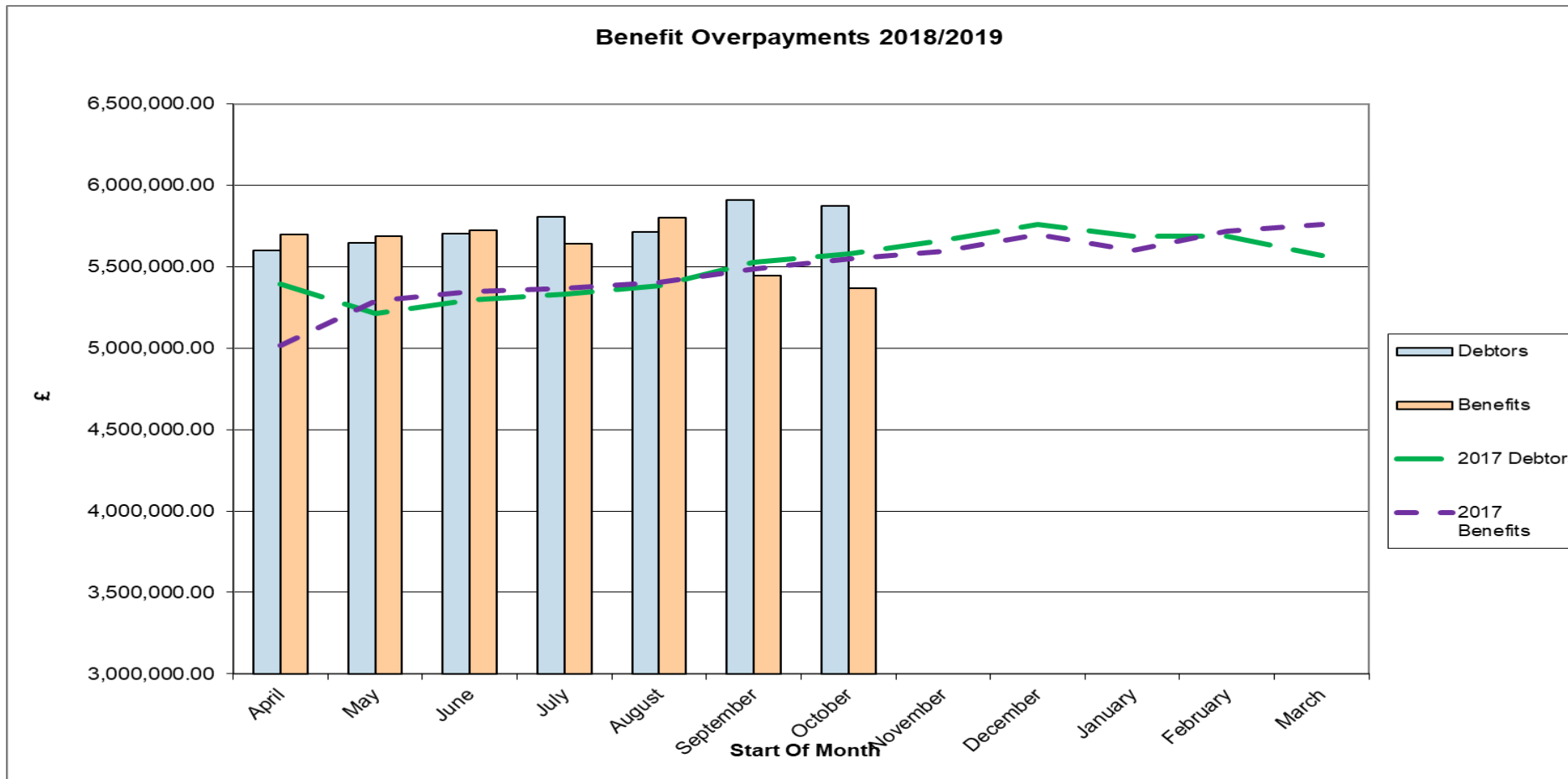
- **4** Courtyard Improvement scheme are on site
- **2** Development Improvement Schemes are on site.
- **42** Land Management enquiries were received.
- **2** Tree cases approved

# Assessment & Support – Assessment and Support 2018

## High Level Performance Indicators – Month/YTD

Corporate Plan QTR/YTD		Benefit Performance Month/YTD					
Number of staff (Council Wide) completing the Level 1 online module of the National Training Framework on violence against women, domestic abuse, and sexual violence as a percentage of all staff. (Quarterly Reporting)		Speed of processing: Average time for processing new CTR claims		Speed of processing: Average time for processing new HB claims		Percentage of new HB claims processed within 14 days of all information received	
Target 100%	26.75% QTR2 18/19	Target 20 Days	24.96/24.42	Target 21 Days	27.54/25.20	Target 95%	89.11%/91.42%

Benefit Overpayments 2018/2019

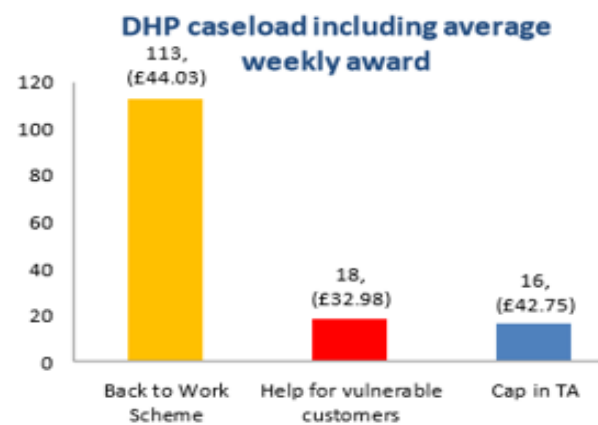


Benefit Cap	
58% of cases affected by £50 per week or less	
Weekly Loss of HB	Number of Households
£0 - £50	323
£50 - £100	152
£100 - £150	72
£150 - £200	6
£200+	0
<b>Grand Total</b>	<b>553</b>

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£28,135.63

Weekly loss of Housing Benefit across the city



New Benefit Claims Assessed within 14 Days														
	Target	17/18	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
Local Authority Tenants	95%	97.57%	98.37%	95.71%	92.78%	96.88%	98.78%	93.33%	94.34%	91.30%	91.38%	97.56%	91.46%	92.92%
Private Tenants	95%	96.83%	97.91%	96.94%	94.57%	97.17%	95.70%	90.42%	91.00%	94.97%	88.67%	93.22%	88.24%	91.00%
All HB Claims	95%	96.69%	98.02%	96.70%	94.22%	97.11%	96.29%	91.04%	91.67%	94.29%	89.27%	94.04%	89.11%	91.42%

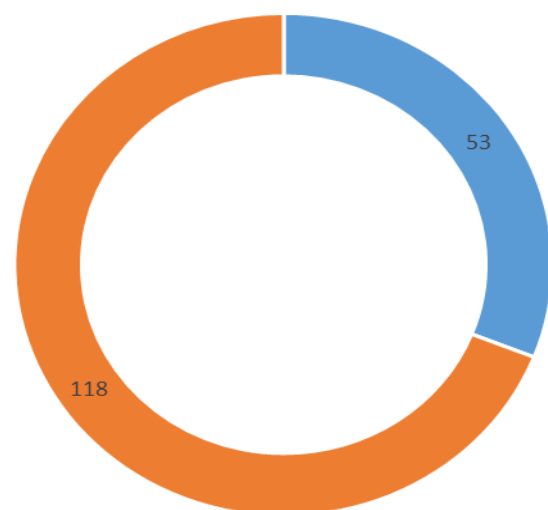


## Homelessness & Gypsy/Traveller Sites - September 2018

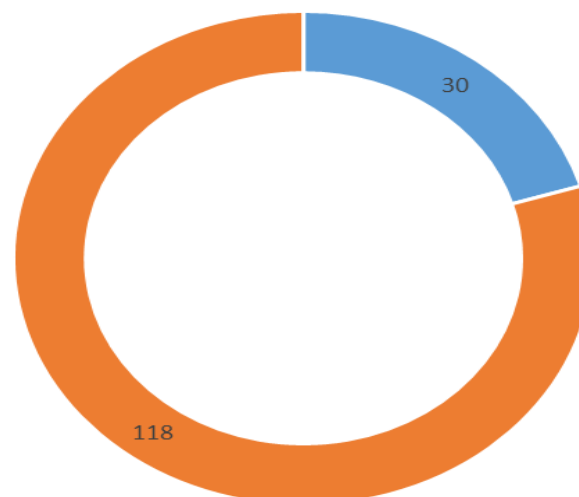
### High Level Performance Indicators – Month/YTD

Corporate Plan Month/YTD		Homelessness Performance Month / YTD	
Cases where a duty to prevent homelessness was accepted and homelessness was prevented (including those ended by customers action) (PAM)		Cases where a duty to prevent homelessness was accepted and homelessness was prevented (excluding those ended by customers action)	
<b>Target 70%</b>	<b>69%/66%</b>	<b>Target 80%</b>	<b>82%/75%</b>

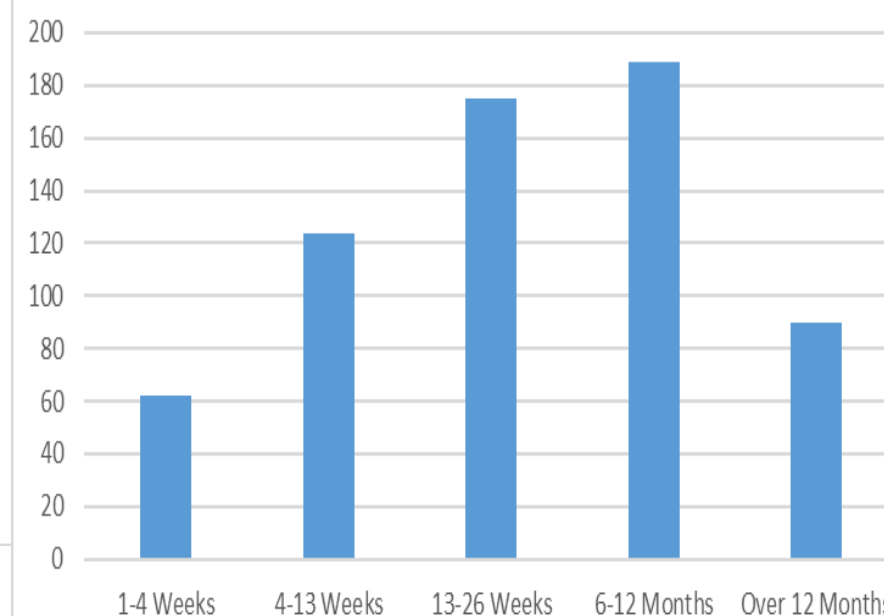
PAM - Households threatened with homelessness successfully prevented from becoming homeless



Local - Households threatened with homelessness successfully prevented from becoming homeless excluding non-engagement



Current Number of People in Temporary Accommodation



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To be replaced with the number of presentations not placed in TA following triage intervention (S66) Outcome

To be replaced with Housing support workers graph

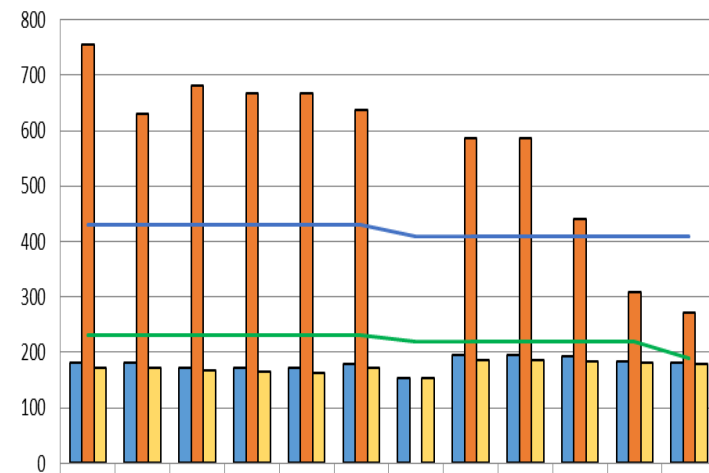
Entry to System		Prevention			Duty to help Secure		Full Duty Decisions	Gateways				Mortgage and Debt
<b>Reception:</b> Total Footfall: <b>736</b> Average per day: <b>25</b>	<b>Initial Assessment:</b> This month there were <b>355</b> initial assessments completed, <b>159</b> with a duty to prevent accepted and <b>129</b> with a duty to help secure accepted.	<b>Threat of Homelessness Prevented:</b> <b>80</b> people were saved from being homeless this month. <b>19</b> were saved by Rent Rescue, <b>13</b> by Resolving Affordability, <b>36</b> by Landlord Mediation and <b>4</b> by Family Mediation. There were <b>8</b> other threats resolved	<b>Securing Alternative Accommodation:</b> <b>38</b> people were prevented from being homeless through help to find alternative accommodation this month, <b>17</b> needed financial assistance. There were <b>32</b> people helped into private rented sector accommodation and <b>4</b> with friends and family.	<b>Other outcomes:</b> <b>6</b> clients withdrew, and <b>1</b> refused the offer of suitable rented accommodation.	<b>Duty to help Secure ended positively (Section 73):</b> <b>42</b> cases of duty to help secure ended positively: <b>1</b> Social housing <b>8</b> PRS <b>20</b> SPG <b>12</b> YPG <b>1</b> Mediation/F+F	<b>Section 73 Other Outcomes:</b> <b>6</b> Withdrew voluntarily, <b>8</b> End of duty no duty held, <b>0</b> Change of circumstance, <b>19</b> Loss of contact	<b>52</b> Full Duty decisions made and it took <b>24</b> days average to make a decision.	<b>Family Gateway:</b> <b>28</b> Emergency placements were made in September with <b>13</b> non-emergency placements. <b>8</b> clients moved on to social housing. <b>2</b> in Private rented <b>87</b> Total in FG	<b>Single Person Gateway: 84</b> placed into emergency Frontline accommodation. <b>75</b> positive moves through the gateway and <b>10</b> people were placed into Secondary accommodation. <b>8</b> rough sleepers accommodated. <b>88</b> SAAFS assessed <b>278</b> Total in SPG	<b>Young Persons Gateway 11</b> Emergency placements <b>5</b> Positive moves <b>3</b> Moved into settled social or PRS accommodation <b>31</b> Total in YPG	<b>Households in Temporary Accommodation (Priority need):</b> <b>367</b> Final Duty Owed, <b>252</b> Owed the duty to help secure Percentage variance for same month last year <b>34.8%</b> Leaving TA after final duty:	<b>Mortgage and Debt Court Income maximisation</b>  *To Be Filled when Data is available*

# Preventative Services (DFS & ILS) – September 2018

## High Level Performance Indicators – Month / YTD results

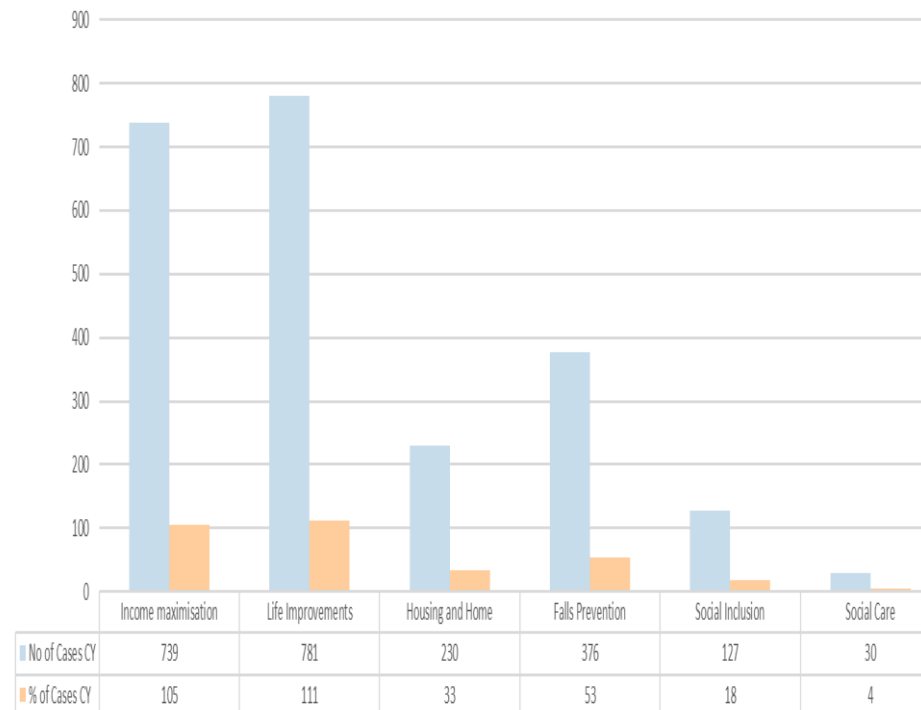
Corporate Plan							
% of new cases dealt with directly at First Point of Contact with no onward referral to Adult Services		% of clients who felt able to live independently in their homes following support from the Independent Living Services		% of people who feel reconnected into their community through intervention from day opportunities.		Average number of calendar days taken to deliver a Disabled Facilities Grant (from first contact to payment date)	
Target – 72%	<b>76%/76% Month/YTD</b>	Target - 95%	<b>98%/100% Month/YTD</b>	Target – 70%	<b>86%/Month 91%/YTD</b>	Target - 185	<b>177/183 QTR 2 /YTD</b>

DFG Completions in Current Year Cumulative (PAM15) YTD

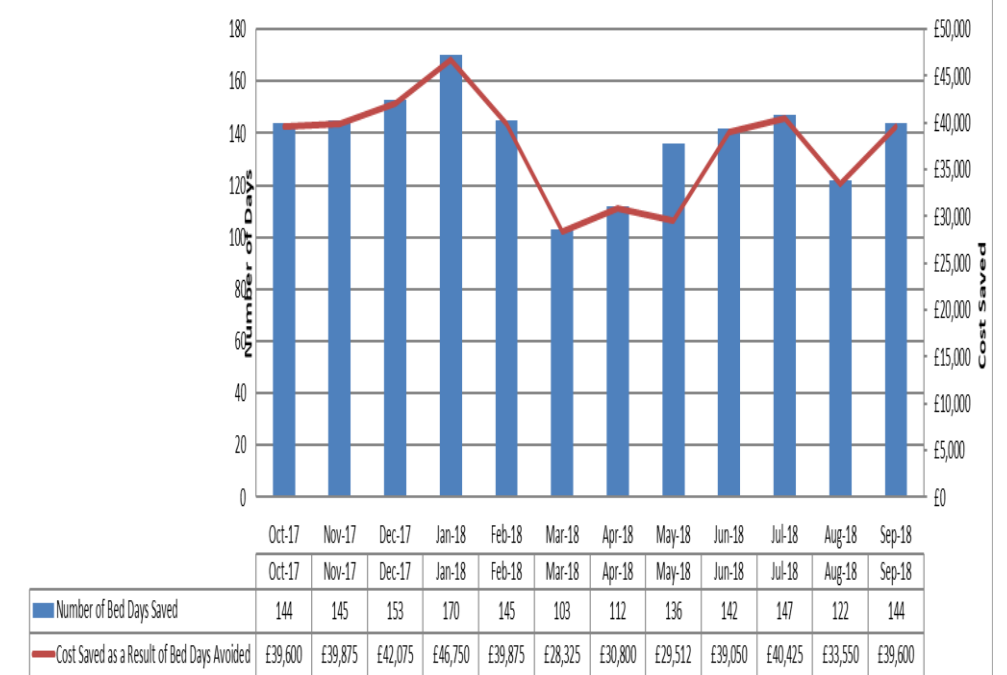


	Oct	Nov	Dec	Jan	Feb	Mar	April	May	Jun	July	Aug	Sep
Completions on PY & CY Approvals	181	181	173	173	172	179	153	196	195	193	184	181
Childrens	754	629	682	667	667	638	0	585	585	441	308	272
Adults	172	173	167	166	164	172	153	187	187	184	182	180
Target	200	200	200	200	200	200	190	190	190	190	190	219
Welsh Average	231	231	231	231	231	231	219	219	219	219	219	190

Holistic Outcomes Year to Date



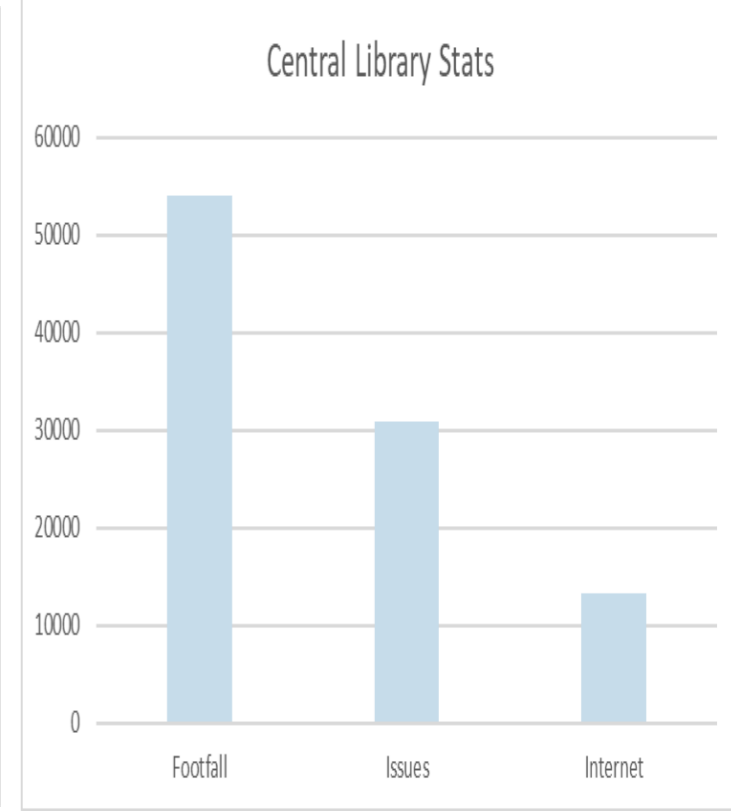
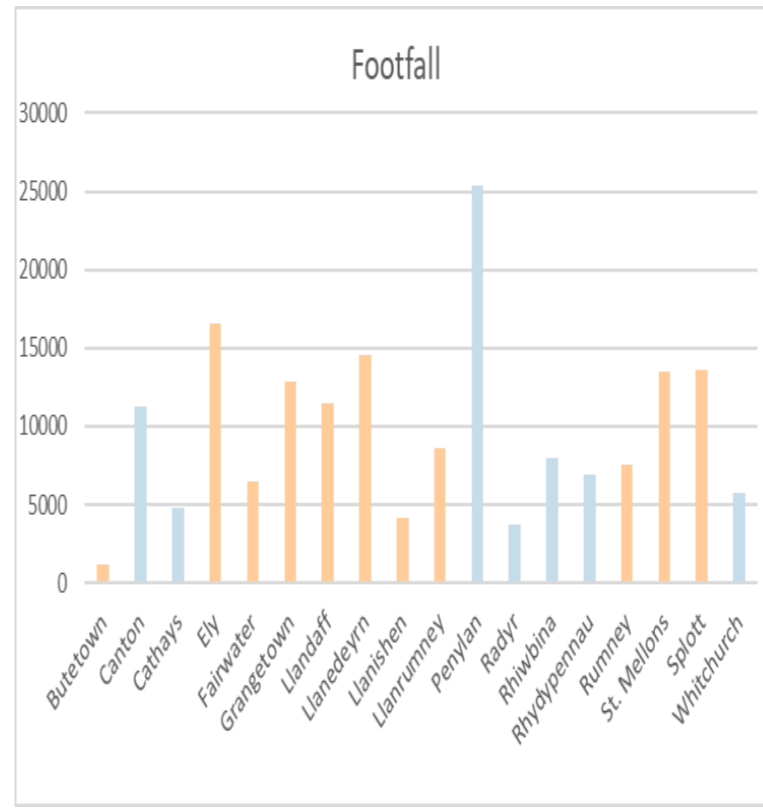
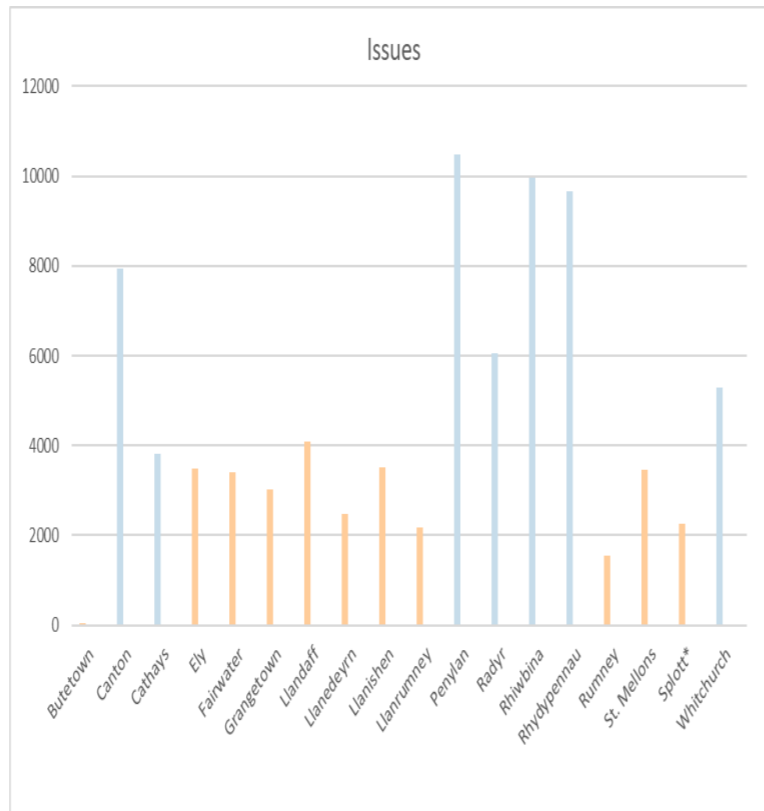
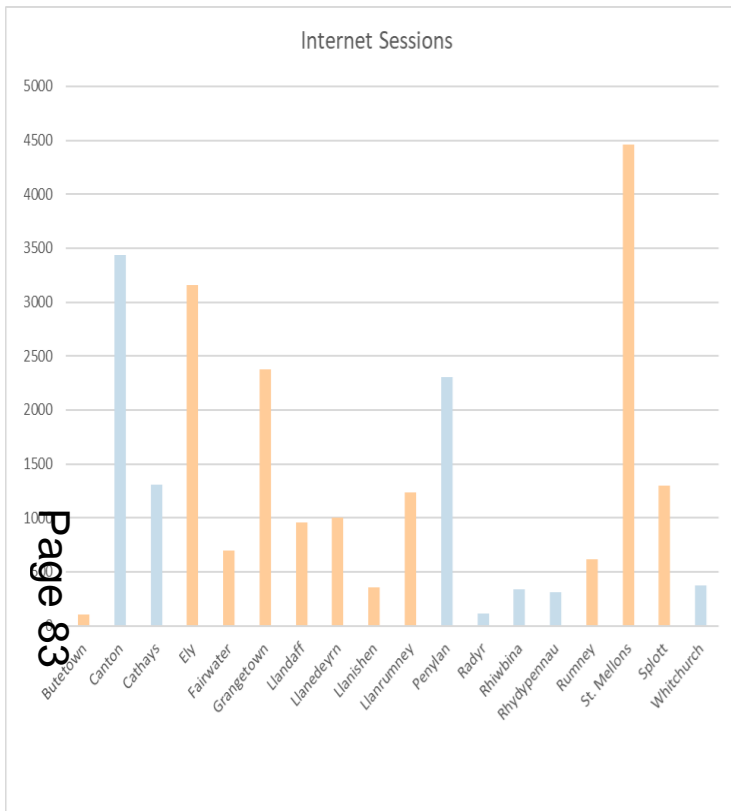
Bed Days Saved



<p><b>In Month: Disabled Facilities Grant</b></p> <ul style="list-style-type: none"> <li>4 Urgent Referrals were received</li> <li>127 Standard Referrals were received in September.</li> <li>The average cost of a mandatory Grant was <b>£6,139 (T - £6,500, Welsh Average £8,000)</b></li> </ul>	<p><b>First Point of Contact</b></p> <ul style="list-style-type: none"> <li>1,358 Inbound Calls Offered</li> <li>1,587 Outbound Calls Made</li> <li>Answer Rate - <b>97% (T – 92%)</b></li> <li>Information and Advice Resolved Within FPOC - <b>76% (T – 72%)</b></li> <li>Information and Advice Resolved Outside FPOC – <b>24%</b></li> </ul>	<p><b>ILS Visiting Officer Performance</b></p> <ul style="list-style-type: none"> <li>Number of Holistic Visits Completed – <b>139</b></li> <li>Total Number of Visits Including Holistic, DFG, Dom, Res, Nursing, Respite – <b>314</b></li> </ul>	<p><b>Preventative Intervention</b></p> <ul style="list-style-type: none"> <li>107 Requests Received</li> <li>Average number of working days to Completion – <b>23 Working Days (T – 35 Working Days)</b></li> </ul>	<p><b>Housing Resettlement Officers</b></p> <ul style="list-style-type: none"> <li>Number of cases where an HRO provided intervention – <b>14</b></li> <li>Total Number of Assisted Discharges with Direct HRO Involvement – <b>5</b> of which <b>5</b> were DETOC</li> </ul>	<p><b>Joint Equipment Service</b></p> <ul style="list-style-type: none"> <li>Total amount of referrals received by the JES Loan Service– September - <b>2,345</b></li> <li><b>78%</b> of Joint Equipment Service referrals received were completed within 5 days (T-70%)</li> </ul>	<p><b>Occupational Therapy Reviews</b></p> <ul style="list-style-type: none"> <li>Actual Cost Avoidance through reduced packages of care due to Occupational Therapy intervention – <b>YTD £137,869</b></li> <li>Actual savings implemented from reviewed care plans – <b>YTD £158,496</b></li> </ul>
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## Libraries and Hubs – September 2018

Corporate Plan Performance indicators				
The Number of Visitors to Libraries and Hubs across the City	% of customers who agreed with the statement “Overall the Hub met my requirements/ I got what I needed”		Overall Progress against quality indicators	
<b>Target 3,300,000</b>	1,321,762	<b>Target 95%</b>	98.6%	10/12



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<p style="text-align: center;"><b>New Users</b></p> <p>The top 5 libraries with new users in August are</p> <ol style="list-style-type: none"> <li>1. Central <b>715</b></li> <li>2. Cathays <b>114</b></li> <li>3. Prison <b>109</b></li> <li>4. Penylan <b>105</b></li> <li>5. Canton <b>85</b></li> </ol>	<p style="text-align: center;"><b>Library Users</b></p> <ul style="list-style-type: none"> <li>• The total number of new library users for June was <b>1,772</b></li> </ul>	<p style="text-align: center;"><b>Events</b></p> <ul style="list-style-type: none"> <li>• The total number of events for September was <b>294 (+NDL)</b></li> <li>• The total number of attendees at events was <b>4,077 (+NDL)</b></li> </ul>	<p style="text-align: center;"><b>Central Wifi</b></p> <ul style="list-style-type: none"> <li>• 41,444 individual users</li> <li>• 4.46TB Data Transferred</li> </ul>	<p style="text-align: center;"><b>Hubs</b></p> <ul style="list-style-type: none"> <li>• St Mellons Hub saw the greatest increase in footfall following the relaunch during the month</li> </ul>	<p style="text-align: center;"><b>Top 5 Children’s Books</b></p> <ol style="list-style-type: none"> <li>1. The Gingerbread Man</li> <li>2. Things That Go</li> <li>3. Baby’s Very First Truck Book</li> <li>4. Busy Halloween</li> <li>5. Digger World</li> </ol>	<p style="text-align: center;"><b>Top 5 Adult Fiction</b></p> <ol style="list-style-type: none"> <li>1. Murder Mile</li> <li>2. Revenge</li> <li>3. The Mystery of Three Quarters</li> <li>4. One Special Village</li> <li>5. The Midnight Line</li> </ol>	<p style="text-align: center;"><b>Top 5 Non-fiction books</b></p> <ol style="list-style-type: none"> <li>1. Life in the UK Test: Practice Questions</li> <li>2. This is going to Hurt: Secret Diaries of a Junior Doctor</li> <li>3. Free Country: A Painless Adventure the Length of Britain</li> <li>4. Boy: Tales of Childhood</li> <li>5. Thinking Out Loud: Love, Grief and Being Mum and Dad</li> </ol>	<p style="text-align: center;"><b>Top 5 Welsh Books</b></p> <ol style="list-style-type: none"> <li>1. Ysbryd yr Oes</li> <li>2. Dan ei Adain: Nofel</li> <li>3. Lliwiau Elfed: Elfed’s Colours</li> <li>4. Hapus?</li> <li>5. Deg Deinosor Bach</li> </ol>
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## Into Work Services & Adult Community Learning

**In Month/YTD: September 2018**

Corporate Plan Performance Indicators Month/YTD					
The number of people receiving into work advice through the Gateway <i>NB Figure includes Job Clubs, Advice Line, Projects, Training, Self-Employment Support, Emails received, Webchat).</i>		The number of clients that have been supported into Employment having received tailored support through the Gateway <i>NB Figure includes Job Clubs, Projects, Self-Employment</i>		The number of employers that have been assisted by the council's employment support service	
Target 43,000	3,592/21,726	Target 623	76/449	Target 125	73/174

Mentoring Programme	Caseload (Live) (This Month)	Training (Cumulative YTD)	Work Experience/ Volunteering (Cumulative YTD)	Full-time Education Outcome (Cumulative YTD)	Job Outcome (Cumulative YTD)
Inspire 2 Work Target (over 3 years)	No Target	54	No Target	22	86
Inspire 2 Work Total (Since Oct 2017)	48	27	6	9	11
Journey 2 Work Target (over 3 years)	No Target	200	68	No Target	95
Journey 2 Work Total (Since March 2018)	127	20	7	12	15
Communities 4 Work Target (per year)	No Target	No Target	No Target	No Target	27
Communities 4 Work Total	240	50	12	n/a	44
Communities 4 Work Plus Target (one year/march 2019)	No Target	288	196	No Target	200
Communities 4 Work Plus Total (Since April 2018)	93	30	115	1	20
MILES programme Target (Until March 2019)	30	0	0	0	0
MILES Programme Total (Since 1 <sup>st</sup> April 2018)	18	7	0	0	1
Refugee Employment Target (Until August 2018)	No Target	No Target	No Target	No Target	No Target
Refugee Employment Total (Since August 2017)	135	66	3	0	30

Job Outcomes													
	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	YTD
Communities for Work (Mentors)	5	7	9	7	9	6							36
Gateway/Job clubs	22	16	97	26	130	42							306
Inspire 2 Work	0	1	1	0	1	1							3
Journey 2 Work	-	-	1	2	4	5							7
Communities 4 Work plus	-	-	-	1	2	17							3
Miles programme	-	-	-	0	1	0							1
Refugee employment support	-	-	12	8	5	5							25
Adult Community Learning	0	0	0	7	0	0							7
Total	27	24	120	50	152	76							449
Of which NEETS	1	3	5	4	9	11							33

September has seen the launch of the Butetown Youth Pavilion Hub and also the appointment of a Volunteer Mentor to oversee the recruitment of volunteers in the new hub.

Volunteers in month/(Cumulative YTD)	Positive Outcomes in month (Cumulative YTD)
19/111	9/39

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Learning for Work		
Average Age in Month	Female	Male
16 – 25	64.89%	35.11%
26 - 35	79.85%	20.15%
36 – 45	76.62%	23.38%
46 – 55	64.10%	35.90%
56 – 65	59.33%	40.67%
66 +	65.77%	34.23%

Learning for Work	
% enrolled within deprivation deciles 1 and 2	46%
Number enrolled	688
Retention rate	85.61%

Number of Locations Services offered at in month	
Adult Community Learning	Into Work Services
61	9

Course Fees YTD Received by Learning Life ACL:

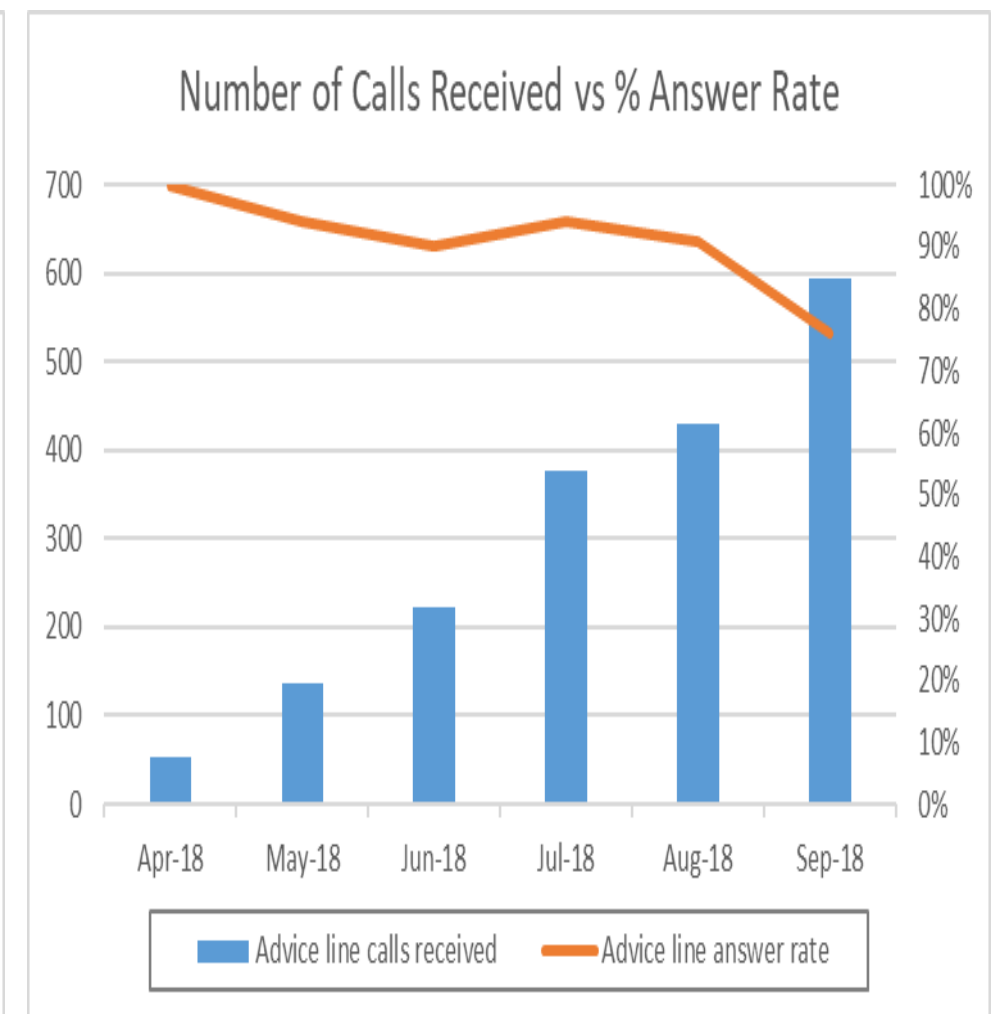
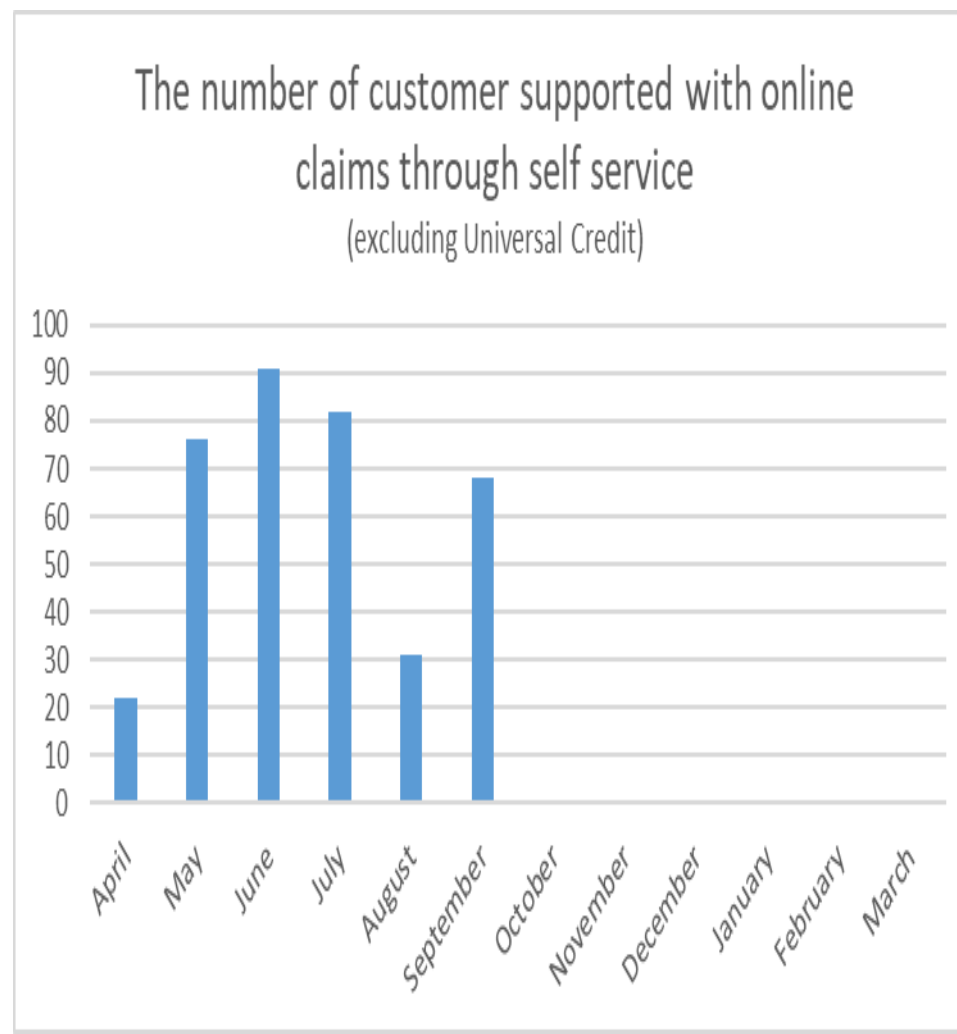
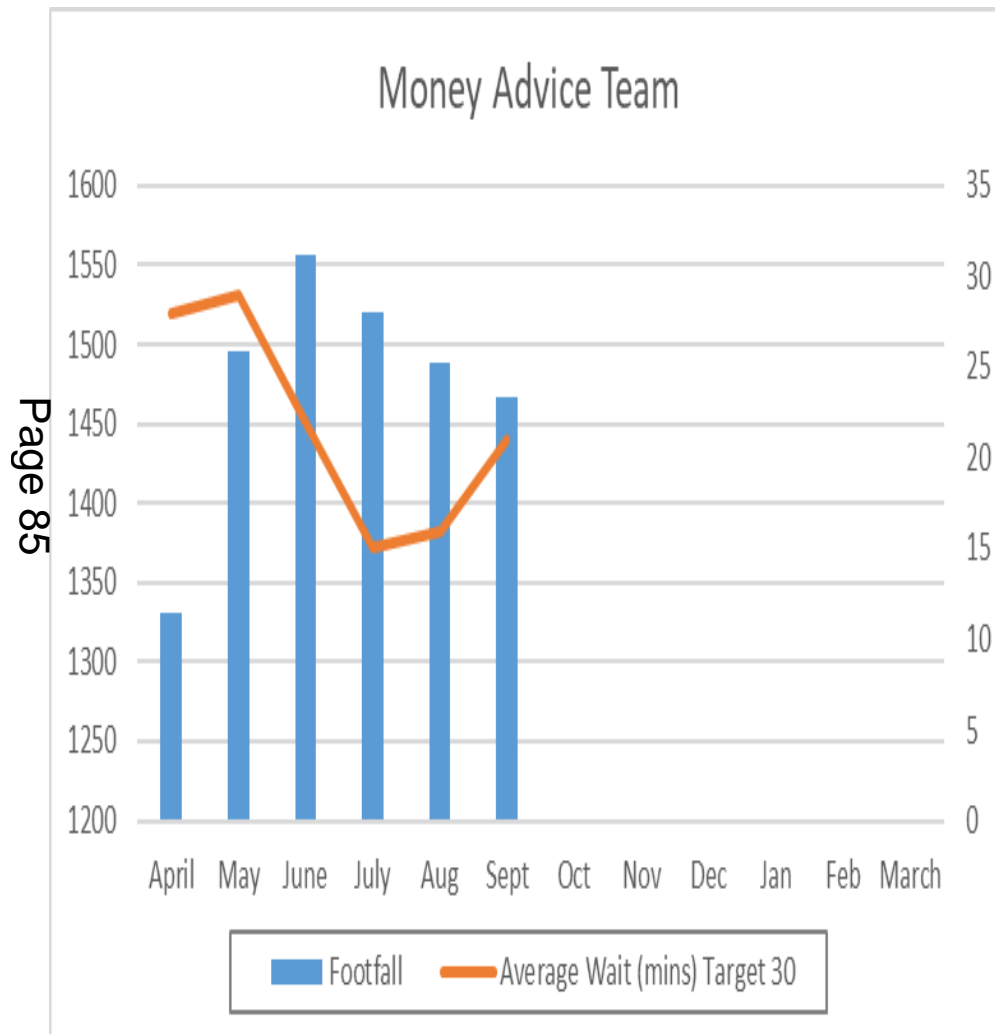
# £132,065.66

Success Rates:			
2013-2014	2014-2015	2015-2016	2016-2017
72%	87%	94%	92%

## Advice – September 2018

### In Month/YTD:

Corporate Plan Performance Indicators Month/YTD			
Number of customers supported and assisted with their claims for Universal Credit (Total of ADS and PBS)		Additional weekly benefit identified for clients of the City Centre Advice Team	
Target 1,500	530/2,170	Target £16,000,000	£1,251,991/7,368,383

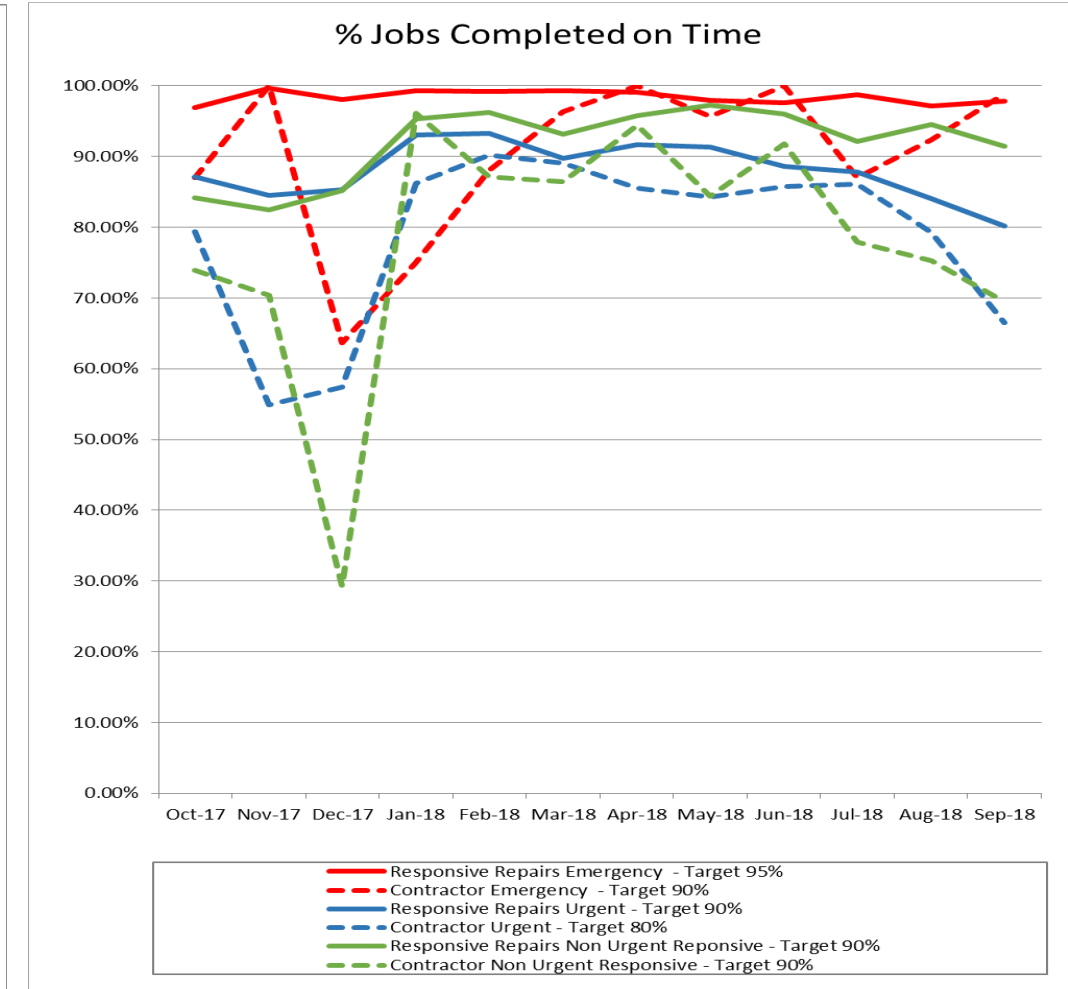
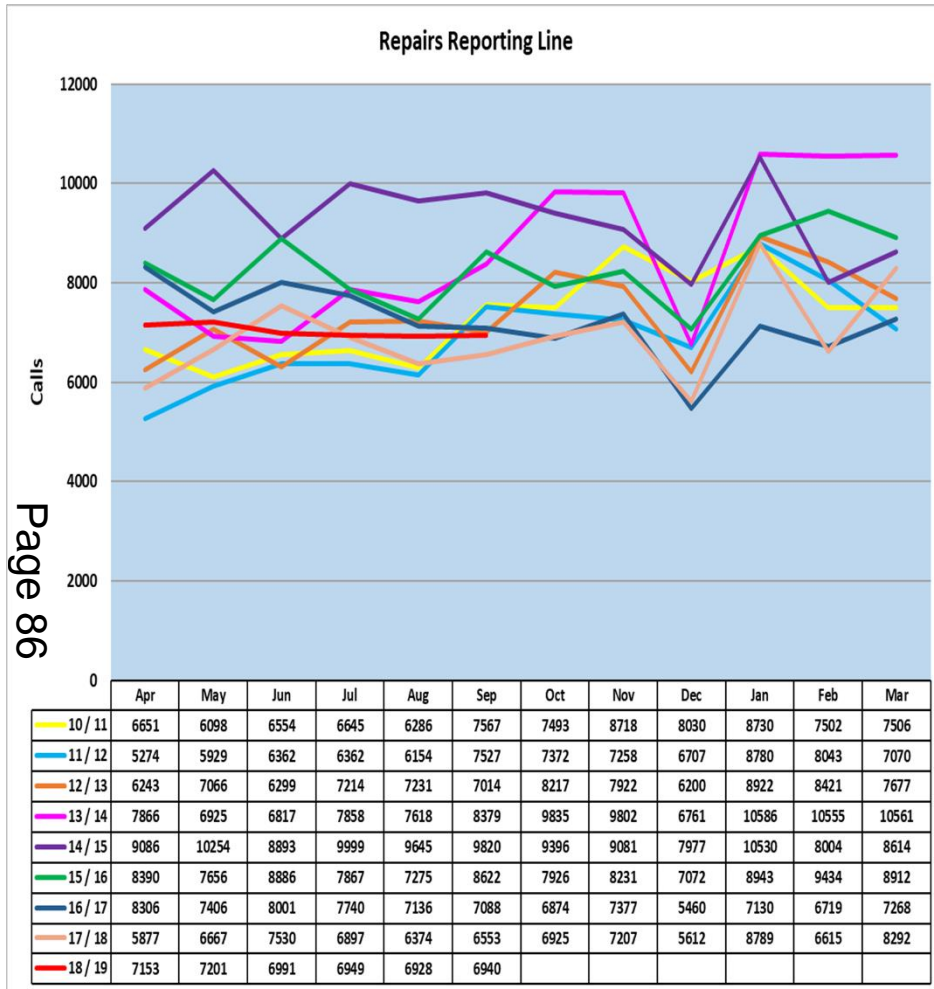


<p><b>Council Enquiries</b></p> <ul style="list-style-type: none"> <li>City Centre waiting times – <b>86% (3,439)</b> seen within 15 minutes (T – 88%).</li> <li>A further <b>521</b> were seen within 16 – 30 minutes, and <b>12</b> waited longer.</li> <li>Number seen at reception <b>3,972</b></li> </ul>	<p><b>Money Advice Team (Central)</b></p> <ul style="list-style-type: none"> <li>Total footfall of <b>1040</b> in month (Central)</li> <li>Waiting time <b>6</b> minutes (I&amp;G)</li> <li>Waiting time <b>21</b> minutes (Advice)(T – 30)</li> <li><b>£28,438</b> saved and <b>£865,381</b> weekly benefit was claimed</li> </ul>	<p><b>Money Advice Team Outreach</b></p> <ul style="list-style-type: none"> <li>Total Footfall <b>427 (Outreach)</b></li> <li><b>£21,147</b> saved and <b>£386,600</b> weekly benefit was claimed.</li> <li>Total Money Advice Team <b>1,467 footfall, £49,585 saved and £1,251,991 claimed</b></li> </ul>	<p><b>Benefit Cap</b></p> <ul style="list-style-type: none"> <li><b>79</b> Benefit Cap DHP appointments booked</li> <li><b>50</b> Benefit Cap appointments were attended</li> <li><b>31</b> DHPs awarded</li> </ul>
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## Responsive Repairs – September 2018

**In Month:**

<p><b>90%</b> of responsive repairs carried out by the in-house workforce (T- 90%)</p>	<p><b>97.87%</b> of emergency repairs completed within target time for Responsive Repairs (T- 95%)  <b>92.86%</b> of emergency repairs completed within target time for Contractor (T-95%)</p>	<p><b>92.82%</b> of Repair Reporting Line Calls Answered (T-93%)</p>	<p><b>95%/95.80%</b> of Satisfied Customers who have contacted the Repair Reporting Line (T-80%)</p>
<p><b>18.29</b> Average number of calendar days taken to complete all repairs (PAM)</p>			



<p><b>Jobs by Responsive Repairs</b></p> <ul style="list-style-type: none"> <li>658 Emergency jobs</li> <li>1,042 Urgent jobs</li> <li>1,926 Non-Urgent responsive repairs were completed in September.</li> </ul>	<p><b>Jobs by contractor</b></p> <ul style="list-style-type: none"> <li>14 Emergency jobs,</li> <li>185 Urgent jobs and</li> <li>190 Non – Urgent responsive repairs were completed in September.</li> </ul>	<p><b>Appointments</b></p> <ul style="list-style-type: none"> <li>7,696 appointments made and <b>90.33%</b> kept (T – 90%), <b>15.85%</b> no access given (T – &lt;15%)</li> </ul>	<p><b>Complaints</b></p> <ul style="list-style-type: none"> <li>Complaints data was unavailable for September.</li> </ul>	<p><b>Gas Servicing</b></p> <ul style="list-style-type: none"> <li><b>63.64%</b> of planned gas servicing has been carried out YTD (T – 49.99%)</li> </ul>	<p><b>Calls from Responsive Repairs Admin/Schedulers</b></p> <ul style="list-style-type: none"> <li>1,744 calls offered from admins with an answer rate of <b>99.03%</b> (T – 95%).</li> <li>4,060 offered to schedulers with an answer rate of <b>94.16%</b> (T – 95%)</li> </ul>	<p><b>Electrical Testing</b></p> <ul style="list-style-type: none"> <li>1059 Electrical testing orders have been raised and <b>883</b> completed with a total cost of <b>£53,692.06</b>.</li> </ul>
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## Regeneration & Building Improvement – September 2018

Corporate Plan Month / YTD	Neighbourhood Regeneration YTD			
--/88% Customer Satisfaction with completed schemes (T – 75%)	48/431 Alley Gating/Gulley Enquiries have been received (T – 500 in year)	1/5 Regeneration project have been completed (T – 12 in year)	2/6 consultation event has taken place (T – 12 in year)	1/12 Alleys/Gullies have been gated, closed or improved. (T – 10 in year)

### Neighbourhood Regeneration – Project Progress September

#### Community Hubs:

- St Mellons Hub – New hub proving popular with residents, with 13,500 customers in its first full month.
- City Centre & Butetown Youth Hubs – Draft applications for TRIP grant under consideration by Welsh Government. Planning application for City Centre youth hub submitted.
- Domestic Abuse One-Stop Shop – Interior design discussions with end users, Cardiff Women’s Aid.
- Fairwater Day Centre – Tenders currently being evaluated. Contract award subject to ICF grant approval.

#### Maelfa:

- Maelfa Redevelopment - internal fit-out specifications for new retail stores being discussed with traders. Completion of Phase 1 expected end Jan, 2019.
- Maelfa High-Rise - Works progressing to programme with new windows completed and ground-floor shop fronts installed.

#### Environmental Schemes:

- Belmont Walk and Anderson Place Estate Regeneration – Works progressing to programme.
- Taff Terrace – Resident consultation planned in October.
- Neighbourhood Renewal Schemes – 21 project ideas submitted by Ward Members for new 3-year programme.

### Building Improvement Unit

Planned Elemental	Total Budget	Spend to Date	Outturn
<b>Roofs</b>	£1,500,000	£50,000	£1,500,000
<b>Front Door Upgrades to Flats</b>	£1,728,000	£567,000	£1,400,000
<b>Lift Upgrades and Renewals</b>	£250,000	£0	£250,000
<b>Window and Door Upgrades</b>	£1,000,000	£14,000	£50,000
<b>Rewiring &amp; Emergency Lighting</b>	£500,000	£248,000	£500,000
<b>Door Entry System</b>	£500,000	£0	£100,000
<b>Kitchens and Bathrooms - Planned</b>	£500,000	£89,000	£200,000
<b>Structural Works - Underpinning</b>	£250,000	£51,000	£125,000
<b>Total</b>	<b>£6,228,000</b>	<b>£1,019,000</b>	<b>£4,125,000</b>

## Compliance & Business Planning

Housing Revenue Account Schemes			
Schemes	Budget September 2018	Spend to date	Predicted Spend
Housing Development	£88,000	£46,000	£107,000
Garages and Asset Improvements	£1,660,000	£717,000	£1,728,000
Estate Regeneration	£1,895,000	£245,000	£1,800,000
Gullies & External Improvements	£150,000	£37,000	£150,000
Energy Efficiency	£250,000	£0	£0
Planned Elemental Improvements (inc central heating)	£14,486,000	£3,004,000	£12,445,000
HUB'S	£350,000	£0	£350,000
New Build and Housing Partnering	£25,910,000	£8,434,000	£23,723,000
Disabled Facility Grants	£2,300,000	£1,087,000	£2,300,000
<b>Total Budget</b>	<b>£47,089,000</b>	<b>£13,570,000</b>	<b>£42,603,000</b>

General Fund Schemes			
Schemes	Budget September 2018	Spend to date	Outturn
<b>Community Investment Schemes</b>	£327,000	£0	£200,000
Alley Gating	£65,000	£4,000	£50,000
Day Centres	£1,300,000	£79,000	£1,200,000
Citizen Hubs	£504,000	£699,000	£950,000
Adaptation Service (DFS)	£4,600,000	£1,669,000	£4,410,000
Community Shopping Centres	£480,000	£29,000	£440,000
Maelfa Regeneration	£600,000	£70,000	£600,000
Neighbourhood Renewal Schemes	£91,000	£201,000	£201,000
Multi Agency Hub	£1,150,000	£0	£500,000
<b>Total Budget</b>	<b>£9,117,000</b>	<b>£2,751,000</b>	<b>£8,551,000</b>

### Energy Efficiency of Council Properties in Month

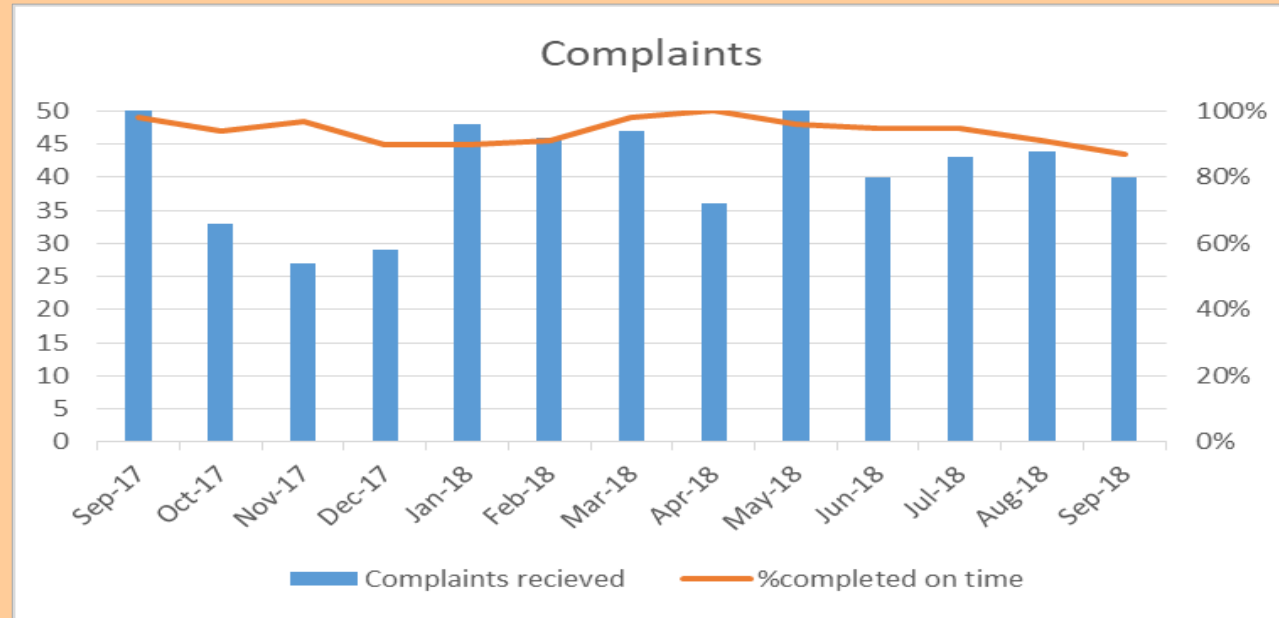
Council Stock SAP rating **70.75**  
 Properties with a valid EPC **68% (9150)**  
 Properties passing WHQS >64 **92% (8413)** properties failing WHQS <65 **8% (737)**

### Breakdown of those with a SAP rating below 65

60 – 64	<b>492</b>
50 – 59	<b>216</b>
40 – 49	<b>24</b>
30 – 39	<b>4</b>
<30	<b>1</b>

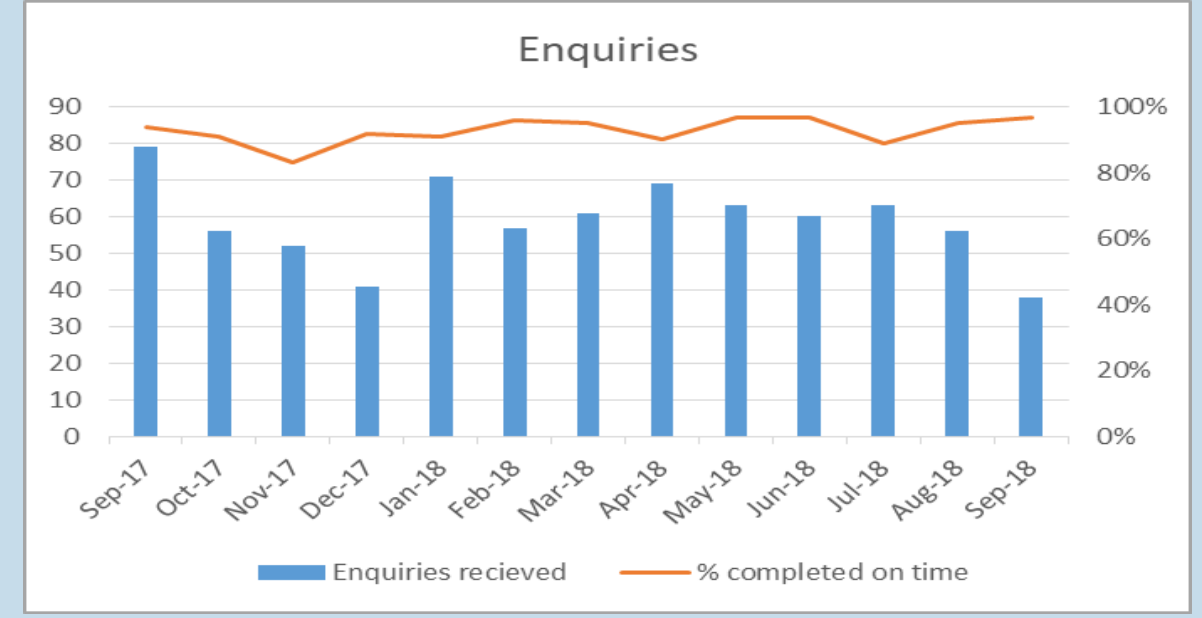
## Complaints, Enquiries, FOI and PACD – September 2018

### Housing & Communities Complaints & Compliments



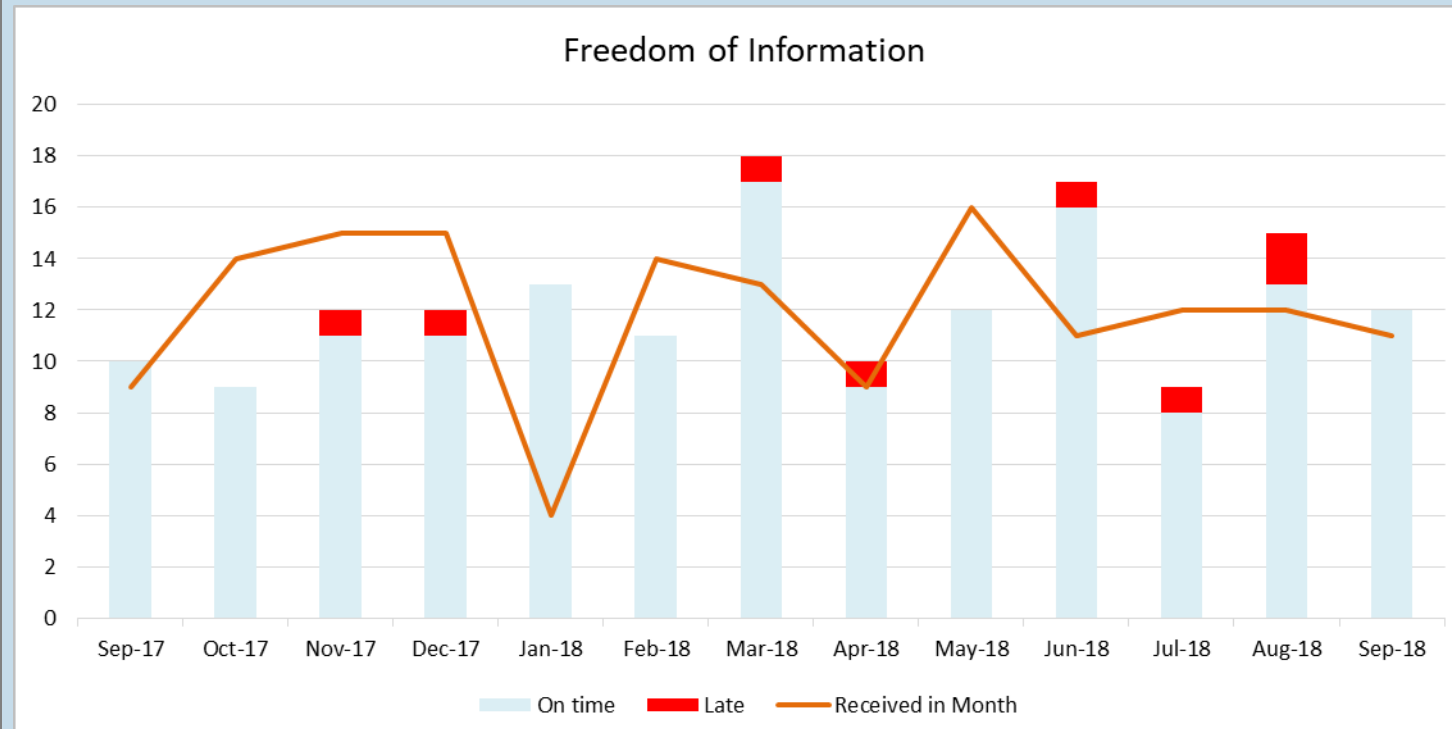
- 8 compliments have been received for September so far (awaiting further from Housing Complaints Team), including:
- A customer called to give his verbal compliment for the council cleaning graffiti in his area on the opposite side of the Taff near the Holiday Inn. The customer wanted to give the council the best compliment he could for this.
- A customer phoned to compliment Olivia for all her hard work in resolving her ASB issues and said things are so much better now.

### Housing & Communities Member Enquiries



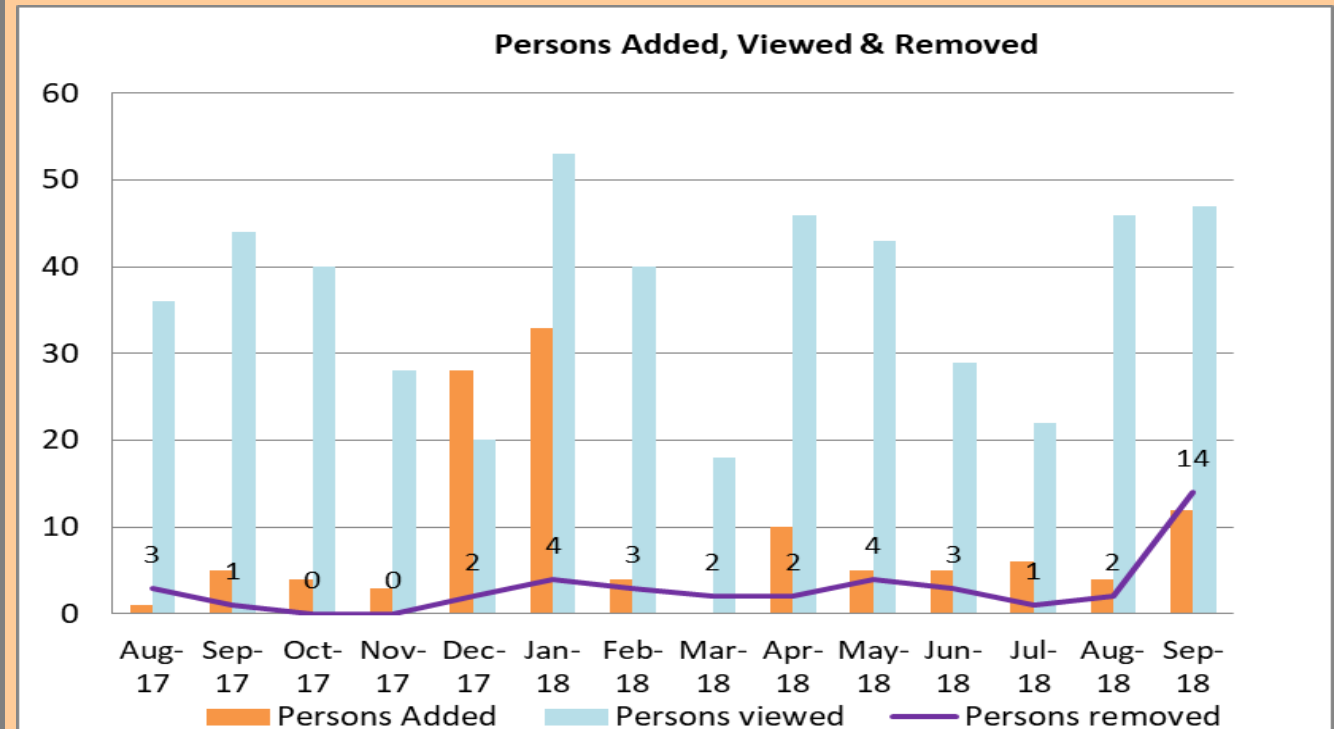
- 38 enquiries were received during August.
- 97% of Enquiries were completed on time (T = 80%)
- Landlord Services received the most enquiries (16) including 8 for Social Lettings Unit and the remaining 8 spread across Landlord Services.
- Assessment & Support were responsible for 12 enquiries with 10 for Housing Options and 2 for Benefits.

### Housing & Communities FOI



- 11 requests were completed in September.
- 0 responses were overdue.

### Housing & Communities PACD



- 73 officers logged on to the PACD Database during August.
- 47 people were viewed, 12 people were added and 14 removed.



# Housing & Communities Core Data

September 2018

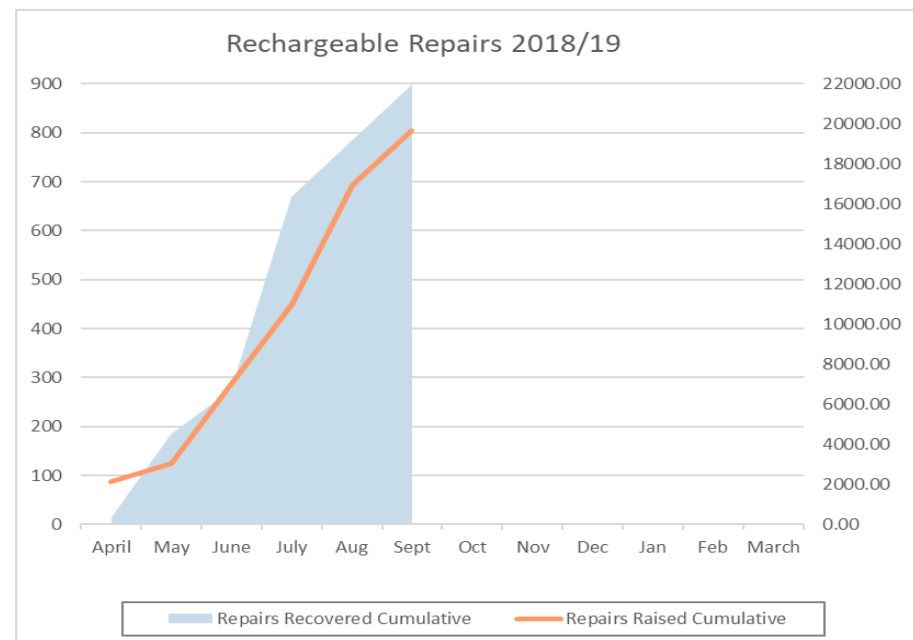
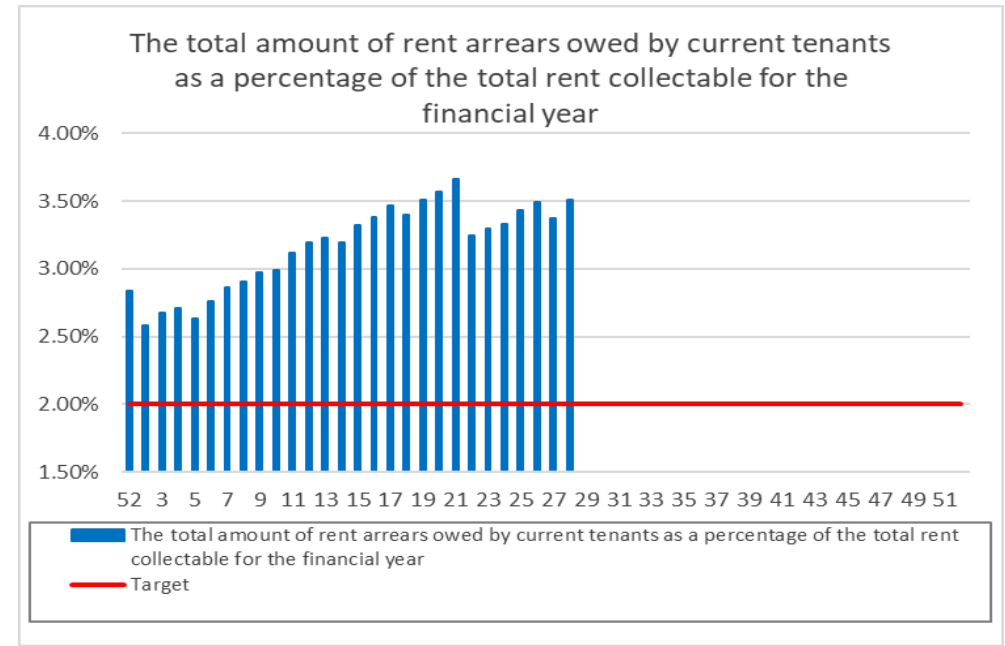
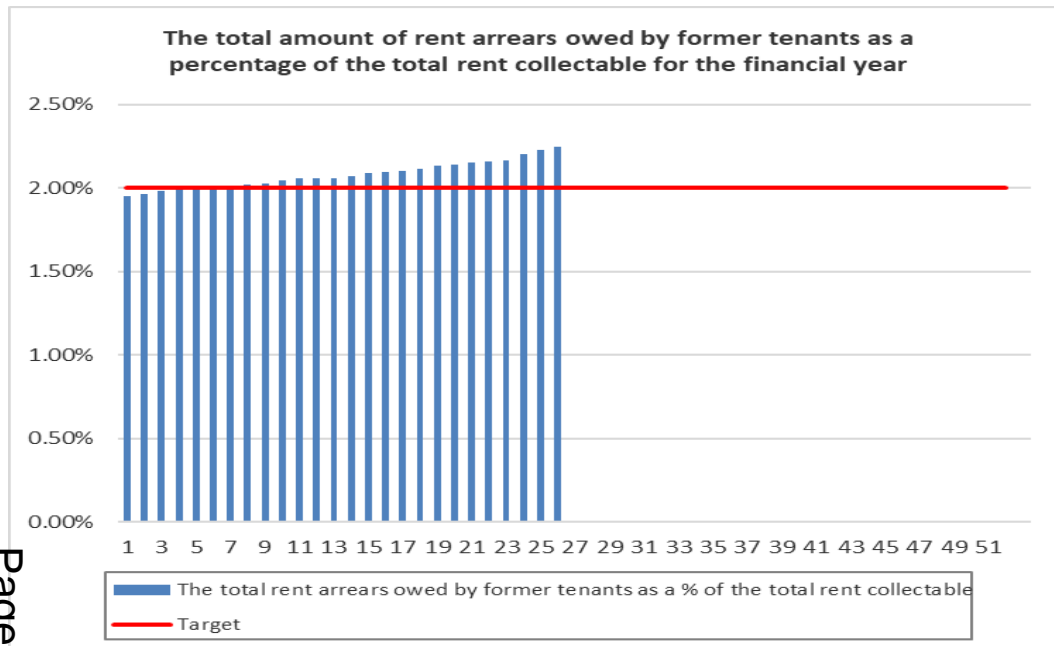


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### Landlord Services



Tenancy Management Abandoned Property Processes 2018/19															
	Target	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD
Processes Started		14	12	22	22	22	16	22	24	12	15	23	22	18	114
Processes Completed		18	20	19	10	28	16	24	23	20	15	12	21	26	117
No 1 <sup>st</sup> Stage Completed		25	25	30	28	29	17	30	28	18	22	34	38	26	166
% Completed on Time	95%	96%	100%	96.67%	100%	100%	100%	100%	100%	100%	100%	97.06%	100%	100%	99.40%

Overdue Gas Checks 2018/19															
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD		
Case received from CMS	106	124	100	121	86	59	45	51	50	126	144	139	555		
Case on Comino	107	103	113	141	109	61	79	52	64	69	107	116	487		
Active Cases	71	80	64	59	47	38	16	28	32	85	135	88	384		
Overall Active Cases	141	162	149	129	106	104	70	69	55	112	149	172	627		
Stage Overdue	2	10	0	0	0	0	11	1	0	4	0	0	16		
Visits Carried Out	68	41	67	41	40	25	28	21	25	40	80	70	264		
Abatement Notices Served	26	28	30	33	17	12	28	20	6	17	27	35	133		
Warrants Obtained	9	11	2	11	9	7	9	11	11	1	2	4	38		
Warrants Executed	4	3	8	9	4	9	7	3	15	1	2	0	28		

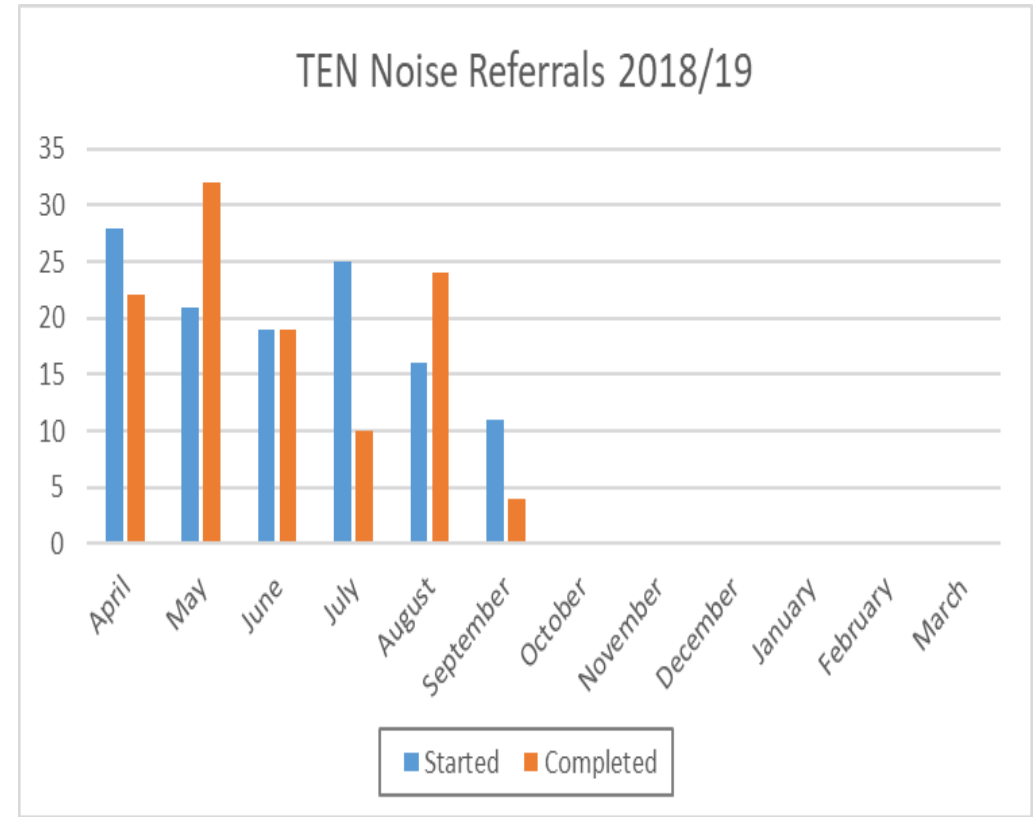
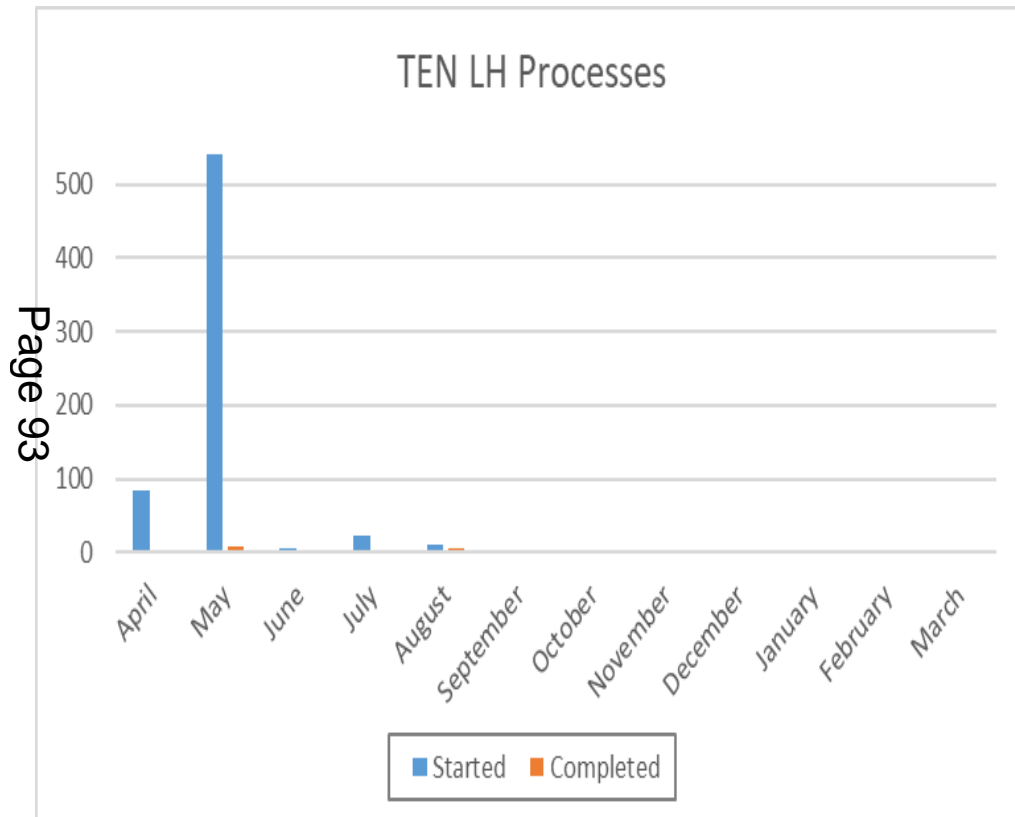
Proactive Tenancy Visits														
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD	
No Action Required	37	0	0	1,035	131	1	0	0	0	0	9	0	9	
Abandoned	1	2	1	0	0	0	1	1	0	0	0	0	2	
Garden/Property condition	2	2	0	71	0	0	0	0	6	1	0	0	7	
Parking Issues	0	0	1	1	0	0	0	0	0	0	0	0	0	
Hardstand	0	0	0	0	0	0	0	0	0	0	0	0	0	
Clean & Clear	0	0	0	0	0	0	0	0	0	0	0	0	0	
General	54	1	0	111	0	0	0	0	1	0	52	29	82	
Total Proactive Visits – T 2000	94	5	2	1,218	131	1	1	1	7	1	61	29	100	

**Property & Garden Condition**

45 completed in month, 320 YTD

**Hoarders**

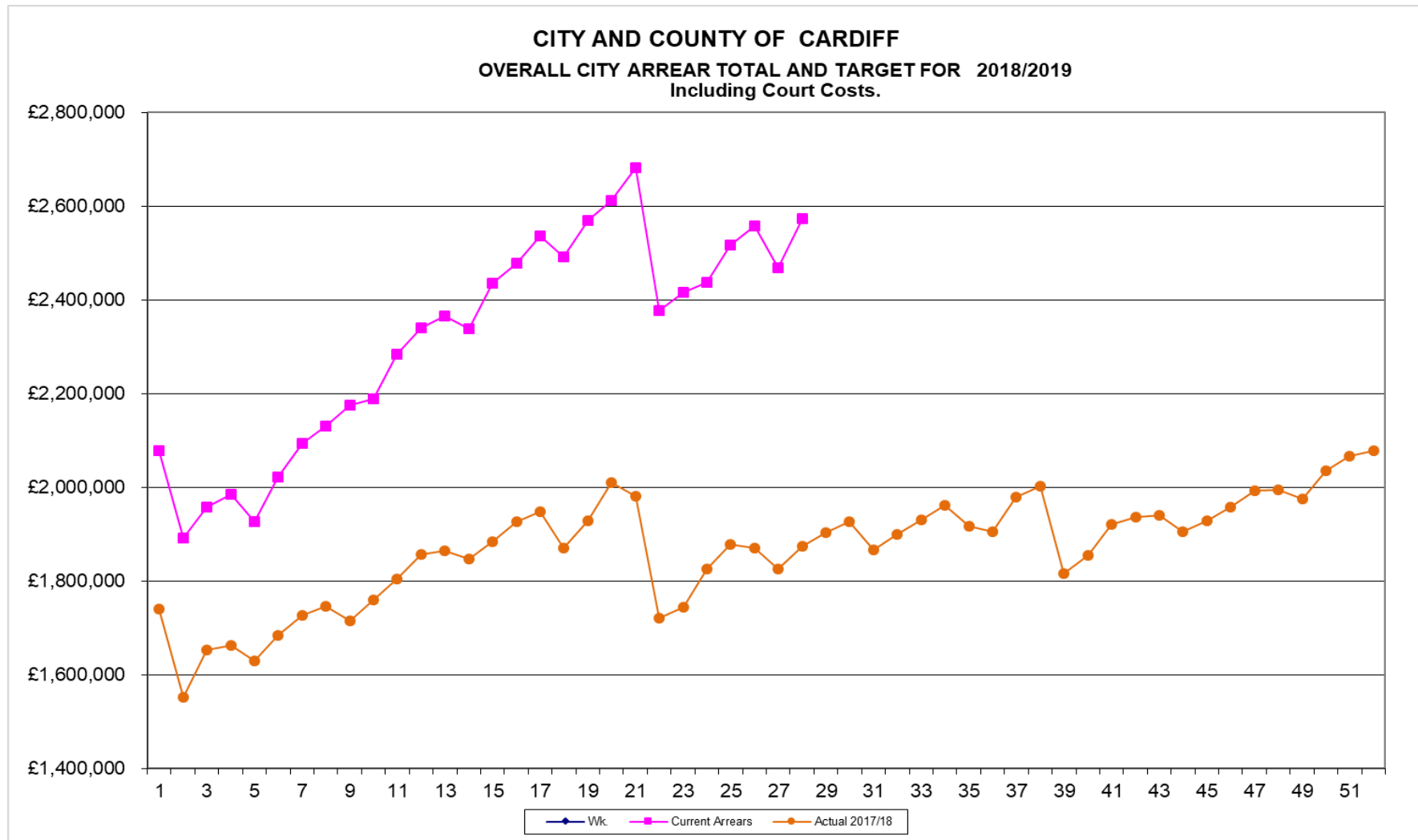
13 active cases at present



Leasehold Management

Right to Buy 2017/18 and 2018/19														
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD
Applications Received	1	0	0	0	0	0	0	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Houses Sold	0	2	4	1	4	3	0	7	1	0	2	1	0	11
Flats Sold	1	3	0	0	0	1	0	1	0	0	0	0	0	1

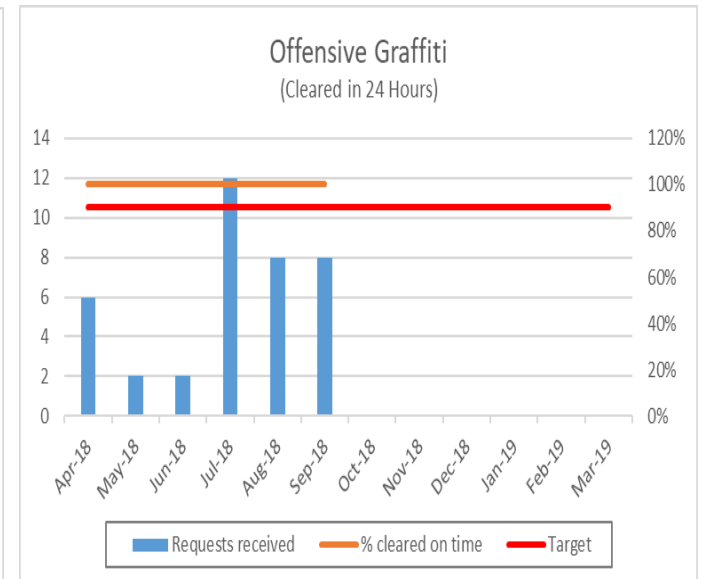
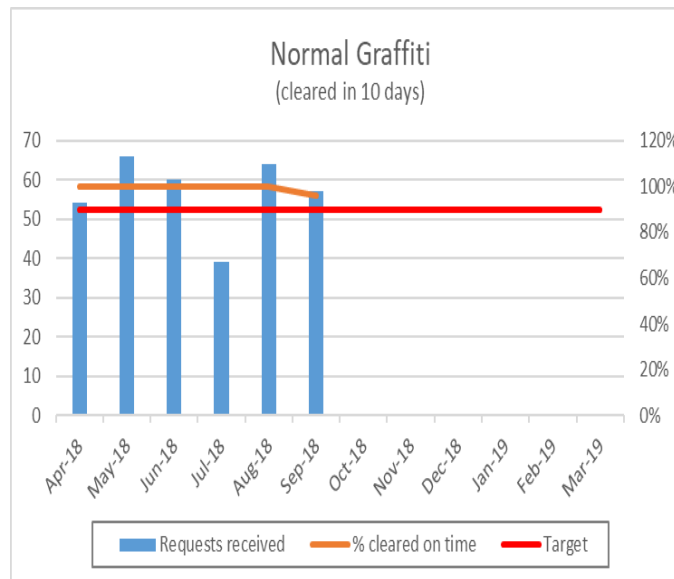
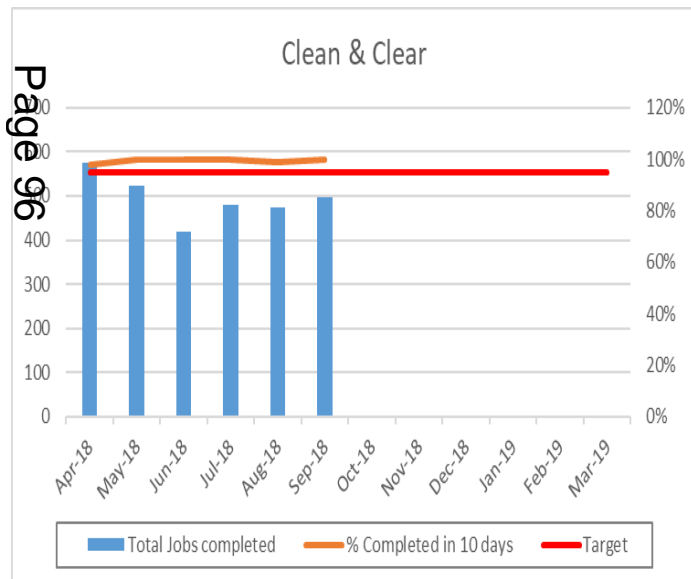
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<b>Tenancy Fraud Outcomes of Referrals to the Tenancy Fraud Hotline 2018/19</b>													
	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>	<b>Jan</b>	<b>Feb</b>	<b>Mar</b>	<b>Apr</b>	<b>May</b>	<b>June</b>	<b>July</b>	<b>Aug</b>	<b>Sep</b>	<b>YTD</b>
<b>At Property (Evidence Provided)</b>	12	14	8	16	5	14	16	13	10	13	21	19	<b>92</b>
<b>Eviction</b>	0	0	0	1	1	0	1	0	0	0	0	0	<b>1</b>
<b>Fleeing DV</b>	0	1	0	1	1	0	1	1	1	0	0	0	<b>3</b>
<b>Gained Possession</b>	0	1	0	0	0	0	1	0	0	0	0	0	<b>1</b>
<b>Gave Notice</b>	0	1	3	2	0	1	0	1	1	0	1	3	<b>6</b>
<b>Hospital</b>	1	0	0	0	0	0	0	0	1	0	0	3	<b>4</b>
<b>On extended Holiday</b>	0	0	0	0	0	0	0	1	0	0	0	0	<b>1</b>
<b>Other</b>	3	3	1	5	3	1	1	3	0	0	1	3	<b>8</b>
<b>Prison</b>	2	0	1	1	0	0	2	0	2	0	1	1	<b>6</b>
<b>Property Requires Work</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
<b>Temporary Absence (Int to Ret)</b>	0	0	0	1	2	0	2	0	0	2	0	1	<b>5</b>
<b>Temporary Absence (No Int to Ret)</b>	0	1	0	1	0	0	1	1	0	0	0	0	<b>2</b>
<b>Tenant Made Contact (Unable to prove)</b>	9	7	6	5	4	12	3	5	1	5	3	5	<b>22</b>
<b>Total</b>	<b>27</b>	<b>28</b>	<b>19</b>	<b>33</b>	<b>16</b>	<b>28</b>	<b>28</b>	<b>25</b>	<b>16</b>	<b>20</b>	<b>27</b>	<b>35</b>	<b>151</b>

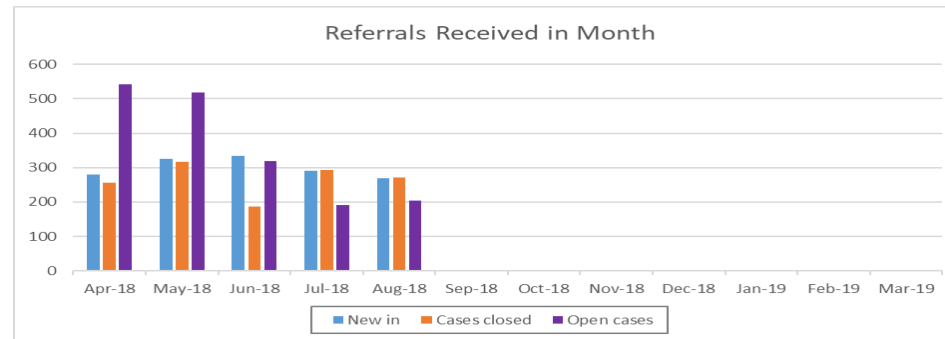
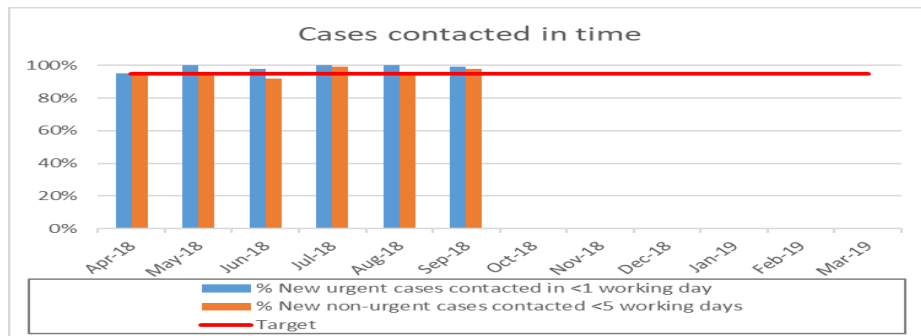
Caretaker Services

Block Cleaning 2018/19														
	Target	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	YTD
Blocks Due		1,600	1,611	1,522	1,678	1,456	1,600	1,570	1,644	1,534	1,616	1,689	1,486	9,539
% Visited on Time	90%	97%	99%	82%	93%	91%	84%	86%	86%	95%	93%	88%	92%	90%
% Visited in Month Due	95%	98%	99%	87%	95%	96%	88%	87%	94%	97%	95%	91%	95%	93%
% Inspected by Supervisor	20%	15.2%	17.8%	9.6%	16.8%	16.6%	17.3%	22.6%	24.6%	20.8%	21.3%	24.3%	24.9%	23.1%





**Anti-Social Behaviour**



Anti-Social Behaviour Action Taken	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD
Absolute Grounds Notice	1	0	0	0	0	1	2	0	0	0	0	0	2
Notice Seeking Possession	5	5	3	5	1	2	9	4	3	0	3	9	29
Notice to end Introductory Tenancy	1	0	0	0	0	0	1	1	0	0	0	0	2
Notice to Extend Introductory Tenancy	0	0	0	0	0	0	0	0	0	0	0	0	0
Notice to Demote	1	1	0	0	0	0	0	0	0	0	0	0	0
Undertaking	0	0	0	0	0	0	1	1	0	0	0	0	2
Injunctions	1	0	1	0	0	0	2	1	1	0	0	0	4
Interim Order	0	1	0	0	0	0	1	0	0	0	2	1	4
Committals	0	0	0	0	0	0	0	0	0	0	0	0	0
Breach of Injunction	0	0	0	0	0	0	0	0	0	0	0	0	0
Remand	0	0	0	0	0	0	0	0	0	0	0	0	0
Custodial Sentence	1	0	0	0	0	0	0	0	0	0	0	0	3
Suspended Sentence	0	0	1	0	0	0	0	0	0	0	0	0	0
Fine	0	0	0	0	0	0	0	0	0	0	0	0	0
Demotion Orders	0	0	0	0	0	0	0	0	0	0	0	0	0
SPO	1	0	1	0	2	1	2	0	0	0	0	0	5
PO	1	2	1	0	0	0	0	0	2	0	0	2	5
Evictions	1	0	0	0	2	0	0	0	2	0	0	0	2
Number of Hearings	6	13	7	4	6	2	5	6	4	0	8	5	33
Warning Letters	21	31	20	19	19	30	14	21	35	32	22	15	76
Restorative Approach Agreed	4	3	0	1	1	0	0	1	0	0	2	2	5
Acceptable Behaviour Agreement	10	14	4	3	8	2	7	6	3	4	0	0	20
Proactive Visits	69	85	6	11	8	75	5	13	25	44	27	27	141
Target Hardening for ASB Victims	0	2	2	0	1	0	2	2	0	0	0	0	4

## Voids

Voids Performance 2018/19														
	Target	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD
Average calendar days taken to re-let council properties (days)	80	71	70	72	74	80	87	82	87	96	95	99	91	92
Avg days to re-let quick turnaround lets	35	46	48	35	52	45	48	39	49	63	54	27	51	47
Average days to re-let high rise	NEW									154	133	198	70	138
Average days to re-let sheltered accommodation	NEW									94	77	91	114	94
Average days to re-let standard voids	75	76	77	83	85	95	101	98	95	103	104	107	115	103
Average days to re-let major works		77	0	0	0	0	294	0	0	99	276	154	182	118
Average days to re-let refurbishment		336	0	287	0	0	0	0	0	0	0	0	0	0
Avg days for keys to arrive at VMU	2	2	2	3	2	3	3	2	3	2	2	3	4	2.6
SLU Letting Time Complete to Let (days)	15	13	14	16	20	11	16	15	19	19	19	17	13	17
VMU Overall Turnaround (days)	30	55	69	64	83	86	91	76	66	77	86	88	92	80
Number of Lets		67	40	61	58	47	82	78	58	57	72	73	58	396
Number of Standard Lets		55	31	48	39	33	60	57	48	46	59	63	50	323
Number of Quick Turn Around Lets		12	9	13	19	14	22	21	10	11	13	10	8	73
Number of Mutual Exchanges		18	19	3	4	19	13	19	13	9	23	33	19	116
Number of properties made void		81	51	50	47	61	80	83	63	55	78	73	62	414
Current number of Voids		170	179	172	184	193	196	197	207	206	216	225	226	226
Stock		13451	13447	13446	13442	13440	13440	13,442	13,439	13,437	13,440	13,439	13,447	13,447
Percentage of voids to stock	1.5%	1.2%	1.3%	1.3%	1.4%	1.4%	1.4%	1.4%	1.5%	1.5%	1.5%	1.5%	1.6%	1.6%
Rent Loss £ (month)		£76,437	£77,508	£77,742	£79,885	£83,872	£107,611	£70,786	£94,773	£51,876	£97,428	£98,457	£105,524	£518,844

CMS/Contractor Performance 2018/19																
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep			
Ian Williams	No of properties	62	34	0	0	0	0	0	0	0	0	0	0			
	Late % Late	24   39%	24   71%	0   0	0   0%	0   0%	0   0	0   0%	0   0%	0   0%	0   0%	0   0%	0   0%	0   0%	0   0%	0   0%
LCB	No of properties			0	45	44	33	39	46	50	59	61	59			
	Late % Late			0   0	8   17%	26   59%	14   42%	11   28%	16   35%	11   22%	59   59	35   57%	20   34%			
R&M Williams	No of properties	32	36	40	47	40	29	49	47	49	36	13	3			
	Late % Late	9   28%	24   67%	23   57%	14   30%	24   60%	10   34%	18   37%	28   60%	14   29%	19   53%	13   100%	3   100%			
Wates	No of Properties		6	25	36	44	31	41	46	43	29	44	60			
	Late % Late		0   0%	3   12%	1   3%	23   52%	18   58%	16   39%	26   57%	13   30%	19   66%	21   48%	33   46%			

## Land and Asset

## Development Improvement Schemes

	April 18	May 18	June 18	July 18	Aug 18	Sept 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19
<b>No. of projects on site</b>	1	1	1	1	2	2						
<b>No. of projects completed</b>	0	0	0	0	0	0						

**Schemes:** Litchfield Court, Edinburgh Court balconies, Hollybush, Lavender Grove, & SAC office (interior H&S & overheating)

\*Hollybush and SAC office (heating)

## Courtyard improvement Programme

	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19
<b>No. of projects on site</b>	1	3*	3	2	3	4*						
<b>No. of projects Completed</b>	-	0	0	1	1	1						

**Schemes:** Abergele Close, Trefraser Crescent, Tegfan Close (1-11, 13-23 & 25-31), Plymouthwood Close (50-56), Heol Trelai & Heol Ebwy (184 - 194) & (52 - 70), Tin Street (14-17), Railway Terrace (2-90), Morris Ave (34a - 40d) Spinney Close (1-6), Thomas St 1-24 and Fishguard Close (44-58)

\*Trefraser Crescent and Tegfan Close, Spinney Close, Morris Ave

**Completed:** Abergele Close

## Land Management

	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19
<b>No of enquiries to date</b>	71	103	110	60	41	42						
<b>Tree cases approved</b>	2	3	4	8	5	2						
<b>JK cases approved</b>	0	0*	0	0	0	0						
<b>No of Enforcement Cases</b>	0	0	0	0	0	0						

\*Too early for treatment Oct

### Assessment & Support

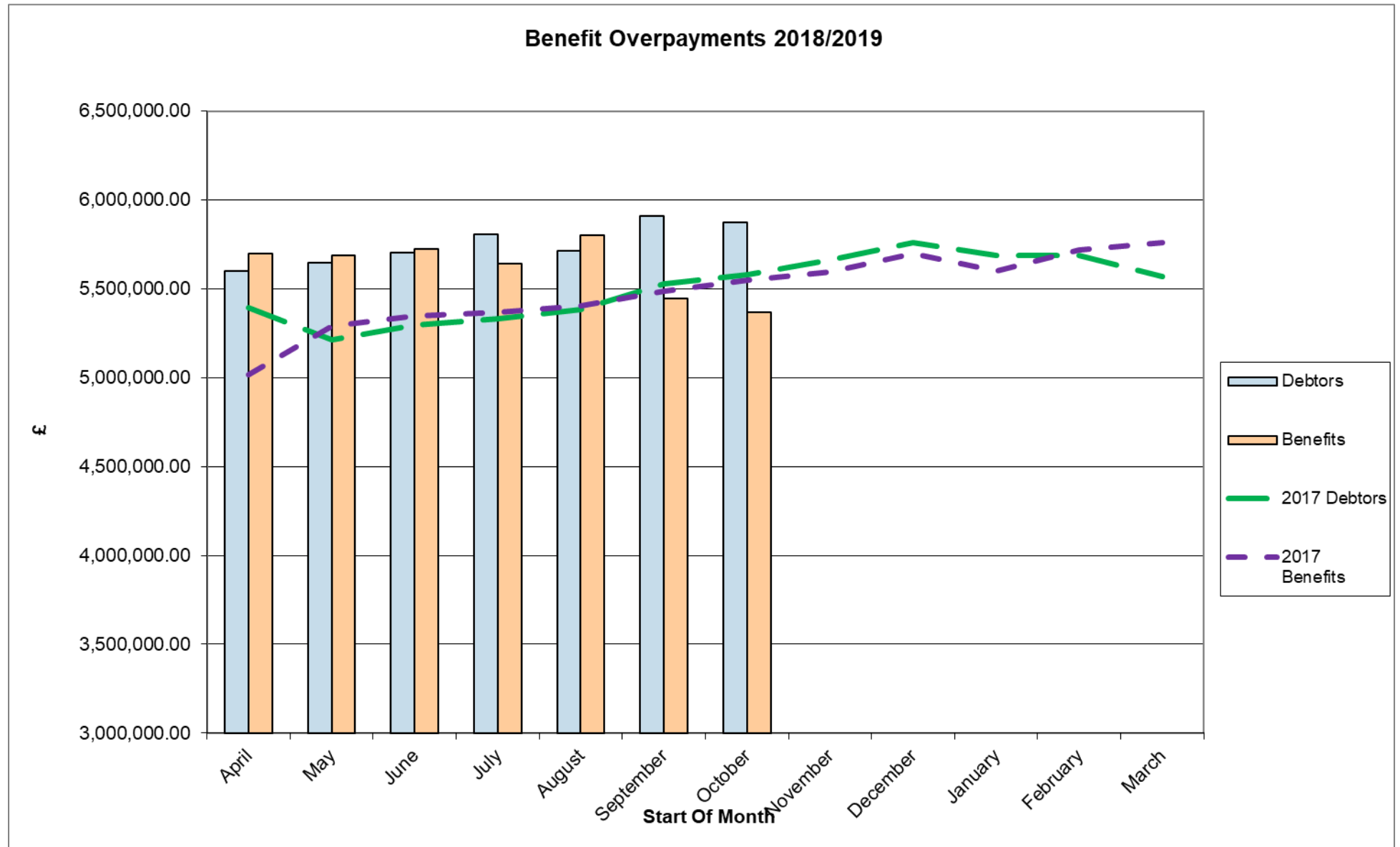
New Benefit Claims Assessed within 14 Days															
	17/18	Target	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
Local Authority Tenants	97.57%	95%	98.37%	98.37%	95.71%	92.78%	96.88%	98.78%	93.33%	94.34%	91.30%	91.38%	97.56%	91.46%	92.92%
Private Tenants	96.83%	95%	97.71%	97.91%	96.94%	94.57%	97.17%	95.70%	90.42%	91.00%	94.97%	88.67%	93.22%	88.24%	91.00%
All HB Claims	96.69%	95%	97.86%	98.02%	96.70%	94.22%	97.11%	96.29%	91.04%	91.67%	94.29%	89.27%	94.04%	89.11%	91.42%

Average Days (New Claims & Changes) 2018/19															
	17/18	Target	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
HB New Claims	20.69	21 Days	19.19	19.81	21.39	21.70	21.57	21.46	27.52	22.18	22.42	22.80	29.09	27.54	25.20
CTR New Claims	17.90	20 Days	17.21	16.21	16.10	18.33	17.31	19.51	25.54	24.92	24.71	22.26	24.18	24.96	24.42
HB Changes	5.61	8 Days	7.92	6.87	6.51	6.77	2.40	3.98	6.92	7.74	10.16	8.49	8.31	8.95	8.33
CTR Changes	4.81	8 Days	5.89	5.33	4.40	3.85	3.83	4.56	4.52	5.58	7.24	6.14	6.52	6.47	5.92

Free School Meals 2018/19															
	17/18	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD	
No of Claims Assessed	2,891	344	227	97	188	154	152	109	154	143	320	581	524	1,831	
Average days to complete	4.28	4.83	2.80	3.27	3.57	2.79	4.16	5.64	5.14	3.87	5.64	14.34	3.30	7.55	
Claim Count	10,239	10,768	10,728	10,698	10,151	10,189	10,239	10,283	10,318	10,335	10,400	10,788	10,736		

Telephone Statistics 2018/19															
	YTD 17/18	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD	
Calls Received	5,644	572	612	344	586	444	585	490	508	378	N/A	N/A	N/A	1,376	
Abandoned Calls	137	16	19	8	21	12	14	17	17	12	N/A	N/A	N/A	46	
	2.4%	2.85%	3.1%	2.3%	3.6%	2.7%	2.4%	3.5%	3.3%	3.2%	N/A	N/A	N/A	3.3%	
Average Number of Calls per Day	22.49	26	27.82	18.11	26.64	22.20	27.86	24.50	24.19	18.00	N/A	N/A	N/A	22.19	

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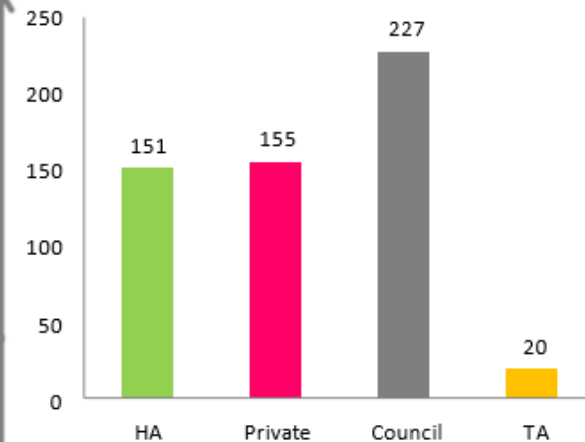


# Benefit Cap Position as at 1st October 2018

CLAIMS CAPPED  
**553**

**47** Cases capped to **£0.50** per week

Caseload by tenure



Highest Weekly cap  
**£189.88**  
Lowest Weekly cap  
**£0.35**

**£51.06**

Average Weekly Benefit Cap

**425 (77%)** of the affected households are lone parents

**58%** of cases affected by **£50** per week or less

Weekly Loss of HB	Number of households
£0-£50	323
£50-£100	152
£100-£150	72
£150-£200	6
£200+	0
<b>Grand Total</b>	<b>553</b>

**1885** children in affected households.  
Average of **3.4** children per household

**£28,135.63**

Weekly loss of Housing Benefit across the city



# Benefit Cap Outcomes / Mitigations

**216** clients have returned to work and **297** have attended accredited & non accredited training

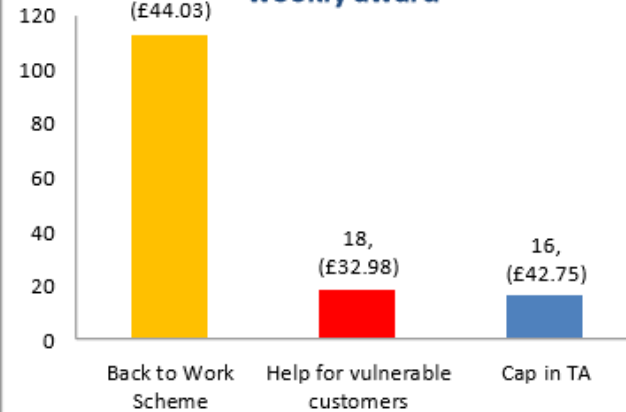


**£6,253.62**

Weekly DHP awards to help households affected by the cap



DHP caseload including average weekly award



**1288** home visits to help households affected by benefit cap



**229 UJ** Universal Jobmatch

accounts created

**ARREARS**

**67** households awarded DHP payments to reduce or clear rent arrears due to benefit cap



**1,009** successful DHP applications completed

**1237** receiving budgeting support

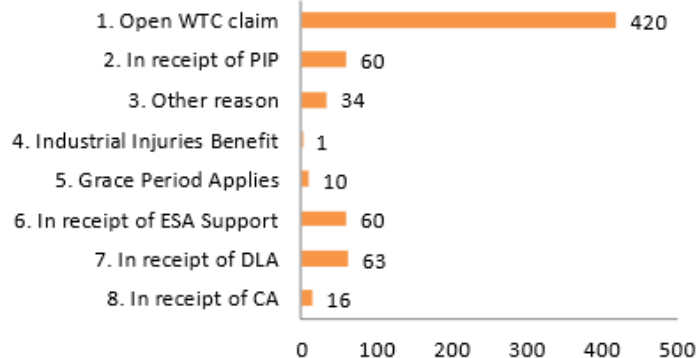


**131** receiving Soft Skills training



**341** becoming digitally included

## Benefit Cap Removal Reason



Referrals made to the Housing Options Prevention Team for a home visit

**139**



Homelessness prevented for households affected by benefit Cap **94**



**25** Back to work DHP cancelled due to non attendance

**63%** of benefit caps have been removed since 2013 due to returning to work and claiming WTC



Waiting times (minutes)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Reception Interview			50:28	43:16	45:59	49:15							46:48
Pre-booked appointments			06:37	11:11	8:03	07:45							08:53
All other Interviews			50:22	57:54	68:09	01:04:35							01:00:20
Wait for Visiting Officer (days)			14.8	14.9	10.6	21.6							14 days

Length of Interview (minutes)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Reception Interview			19:09	20:29	19:07	20:50							19:47
Pre-booked appointments			42:38	52:23	50:18	01:05:31							49:29
All other Interviews			1:04:52	1:01:35	59:53	58:30							01:02:06

Number Seen													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Reception Interview			596	606	647	611							3641
Pre-booked appointments			139	135	112	125							821
All other Interviews			334	371	377	321							2088
Visits by Visiting Officer			54	67	51	48							287
Out of Hours Calls			25	31	26	40							156
Telephone Enquiries			1,878	1,555	1,790	1,557							10239



New Presentations/Referrals from partners for duty to prevent (s66) and duty to help secure (s73)													
	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Total
Asylum Case – HRST Referral			7	3	4	3							38
Basement (YPG) Referral			50	38	33	26							233
Benefits - DHP (stats case)			2	1	1	1							10
Benefits (HWA Referral)			4	10	11	5							37
Benefits Referral (Benefit Cap)			20	0	0	0							76
Domestic Abuse Womens Aid Referral													-
Domestic Abuse BAWSO Referral													-
Domestic Abuse Referral			1	6	3	8							19
Enquiry Received			91	91	151	88							548
Floating Support (Stats) Case			0	0	0	0							0
Hospital Discharge Referral			2	2	8	6							26
Housing Management Referral			0	1	3	2							6
Housing Options Service Client			413	341	337	319							2201
HUB Referral													-
Out of Hours Referral			12	11	8	12							48
Outreach Team Referral			2	5	2	3							35
Prison Link Referral			45	19	20	37							149
Shelter Referral			1	0	2	0							3
Social Inclusion Unit Referral			0	0	0	0							0
Telephone Referral			4	3	2	1							10
<b>Total</b>			<b>654</b>	<b>531</b>	<b>585</b>	<b>511</b>							<b>3439</b>

Primary Reasons for Presenting as Homeless												
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Parental notice			54	23	43	23						
Friends no longer willing to accommodate			12	16	12	16						
Relatives no longer willing to accommodate			19	20	23	14						
Relationship breakdown			9	11	16	10						
Domestic Abuse Female Victim			12	12	12	12						
Domestic Abuse Male Victim			2	2	2	2						
Violence /harassment - Racially motivated			0	1	0	0						
Violence/harassment - Religion/Belief			0	0	0	0						
Violence/harassment - gender identity			0	0	0	0						
Violence/harassment - Sexual orientation			0	0	0	0						
Violence/harassment - Disability			0	0	0	0						
Violence/harassment - another reason			6	5	1	0						
Violence/harassment - domestic abuse not from partner female			4	4	1	5						
Violence/harassment - domestic abuse not from partner male			2	1	0	2						
Violence/harassment Antisocial Behaviour			2	5	4	3						
Mortgage Arrears			3	3	2	1						
Social sector arrears			4	20	37	28						
Private rented sector arrears			26	41	28	15						
Loss of rented or tied accommodation (other than through arrears)			54	59	69	51						
Current property unaffordable			3	3	1	5						
Current property unsuitable – prohibition order			0	1	0	1						
Current property in disrepair			4	3	5	0						
Current property overcrowded			12	11	3	15						
Current property unsuitable to medical need			5	0	3	2						
Current property unsuitable – family reunion			2	3	1	0						
Prison leaver			24	20	14	17						
In institution or care - In hospital			1	1	2	2						
In institution or care – AS accommodation discharge			0	0	0	0						
In institution or care – CS accommodation discharge			4	1	2	0						
In institution or care - Detox/Rehabilitation facility			1	0	0	0						
Armed forces leaver			0	0	0	0						
NASS leave to remain			10	10	15	18						
Sofa surfing			4	2	11	5						
Rough sleeping/No fixed abode			29	30	20	30						
Hostels/Secondary supported accommodation			4	4	3	5						
Emergencies (Fire, flood)			0	0	0	0						

Types of Tenancies presenting												
	April	May	June	July	August	September	October	November	December	January	February	March
Homeowner			6	5	3	2						
Social Housing (Council)			9	14	20	15						
Social Housing (HA)			6	21	29	27						
Private Rented Sector			102	111	97	64						
NASS Accommodation			11	9	15	18						
Staying with Friends or Family			93	63	87	72						
Supported Accommodation			11	15	11	8						
Tied Accommodation			0	1	0	0						
Other			22	19	16	15						
<b>Total Tenancies presenting</b>			<b>260</b>	<b>258</b>	<b>278</b>	<b>221</b>						

Landlord Properties – reasons other than rent arrears												
	April	May	June	July	August	September	October	November	December	January	February	March
Surrendered Tenancy			5	9	9	5						
Landlord Issued Section 21 notice(no reason)			8	2	9	4						
Landlord Issued S8 Notice (other)			0	0	0	0						
Loss of tenancy due to ASB			0	0	0	0						
Loss of social housing tenancy due to ASB			0	0	0	0						
Landlord wishing to sell			11	10	17	9						
Landlord being repossessed			0	0	0	1						
Landlord looking to redevelop property			2	5	4	4						
Landlord/Client dispute			5	5	2	2						
Landlord required property for own use			4	6	7	3						
Landlord looking to increase rent – property unaffordable			2	2	2	1						

Notice from Family or Friends - reasons												
	April	May	June	July	August	September	October	November	December	January	February	March
ASB / Breach of Tenancy			2	0	1	0						
Children's or Adult Services Restrictions			1	0	0	0						
Downsizing			2	1	3	1						
Financial Reasons			1	0	0	0						
Fostering			0	0	0	0						
Legal Restrictions (such as bail conditions)			0	0	0	1						
Overcrowding			16	13	19	18						
Parent, Relative or Friend under NTQ			3	3	1	1						
Relationship Breakdown			36	23	38	19						
Returning Family Members			1	2	0	1						
Selling property or otherwise moving			5	3	1	1						
Other			13	12	17	12						

Initial Assessment Outcomes													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Advice only			-	-	-	-							-
No duty owed			59	71	10	47							300
Duty to Prevent Accepted			156	167	33	159							940
Duty to Help Secure Accepted			157	137	33	129							854
Referral to another Local Authority			1	0	2	1							7
Average days to complete initial assessment			8.4 days	11.0 days	20.7 days	11.7 days							9.1 days

Types of Tenancies saved (Section 66) <i>Data TBC</i>												
	April	May	June	July	August	September	October	November	December	January	February	March
Homeowner												
Social Housing												
Private Rented Sector												
Staying with Friends or Family												
Supported Accommodation												
<b>Total Tenancies Saved</b>												

Threat of Homelessness Tenancies saved by (Section 66)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Rent Rescue - PRS			10	8	12	7							37
Rent Rescue – social housing			1	13	11	12							37
Resolving affordability			6	2	11	13							32
Landlord Mediation			16	20	16	36							88
Disrepair Remedied			0	0	0	0							0
Family Mediation			1	3	2	4							10
Target Hardening (DA)			0	0	0	0							0
Legal Intervention			7	5	7	8							27
<b>Total Tenancies Saved</b>			41	51	59	80							231

Securing Alternative Accommodation (Section 66)														
	April	May	June	July	August	September	October	November	December	January	February	March	YTD	
Client found Private Rented Sector Accommodation in Borough (outside Borough)			18	12	14	12							56	
- With financial assistance			10	10	2	12							34	
- Without financial assistance			8	2	12	0							22	
Council found Private Rented Sector with housing solutions in Borough (outside Borough)			17	13	4	20							54	
- With financial assistance			7	5	3	5							20	
- Without financial assistance			10	8	1	15							34	
Supported Accommodation			3	0	0	2							5	
Friends/Family			2	3	7	4							16	
Social housing			1	0	3	0							4	
<b>Total alternative accommodation secured</b>			41	26	29	38							134	

## S66 Outcome 3 – Other Outcomes

Other Outcomes (Section 66)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Client withdrew			5	8	4	4							21
Refused offer of suitable rented accommodation			1	1	1	1							6
- Council			-	-	-								-
- Private Rented Sector			-	-	-								-
Unreasonable failure to cooperate			0	1	1	2							8
Client in hospital/ prison/ other			8	12	14	15							44
Prevention failed (73 accepted)			44	21	42	30							181
No longer eligible			0	0	0	1							1
<b>Total</b>			<b>58</b>	<b>43</b>	<b>63</b>	<b>53</b>							<b>261</b>

## PAM – Welsh Assembly Measure

	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Percentage of households threatened with homelessness successfully prevented from becoming homeless (PAM)			58.57%	64.75%	60.63%	69.01%							66.37%
Homelessness prevented			82	79	97	118							515
Total Owed the duty			140	122	160	171							776
Local Indicator			65.08%	79.00%	69.78%	79.73%							73.99%
Homelessness prevented			82	79	97	118							515
Total Owed the duty, excluding non-engagement			126	100	139	148							696

## Section 66 additional data – Data Development

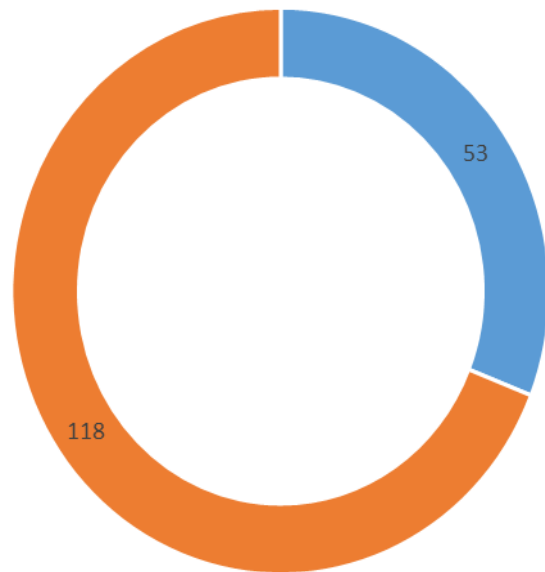
	April	May	June	July	August	September	October	November	December	January	February	March
Bonds and Rent in advance paid (prevention) £total (no)												
Rent Rescue £total (no)												
Average days to audit before Temporary Accommodation is approved												
Average Length of Prevention Cases												
Prevention cases over 12 weeks												

Reasons for prevention failure (Section 66) Data Development												
	April	May	June	July	August	September	October	November	December	January	February	March
Failed Rent Rescue landlord (client)												
Mediation failed family/friends												
Mediation failed PRS landlord												
Property unaffordable												
Property disrepair unable to be remedied												
Landlord won't engage												
Client won't engage												
<b>Total failed</b>												

**Duty to help secure accommodation (Section 73)**

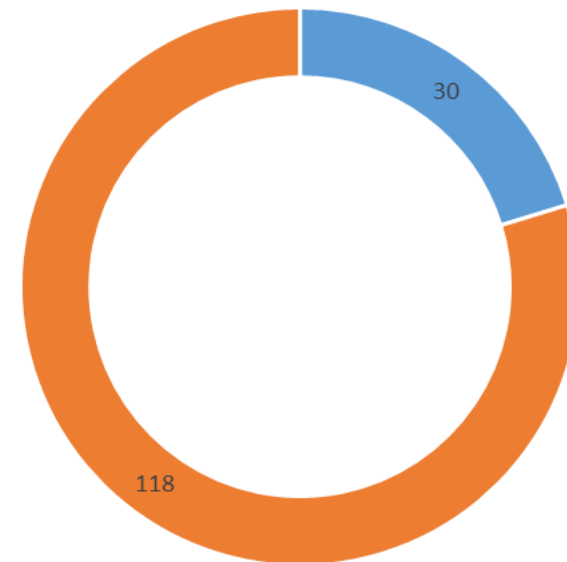
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PAM - Households threatened with homelessness successfully prevented from becoming homeless



■ Prevention failed ■ Homelessness Prevented

Local - Households threatened with homelessness successfully prevented from becoming homeless excluding non-engagement



■ Prevention failed ■ Homelessness Prevented

Duty to help Secure - Duty to prevent became duty to help secure <i>Data TBC</i>												
	April	May	June	July	August	September	October	November	December	January	February	March
Homeowner												
Social Housing												
Private Rented Sector												
Staying with Friends or Family												
Supported Accommodation												
<b>Total</b>												

Duty to help Secure ended positively (Section 73)												
	April	May	June	July	August	September	October	November	December	January	February	YTD
Client found Private Rented Sector Accommodation in Borough (outside Borough)			-	7	14	4						50
- With financial assistance			1	1	2	2						7
- Without financial assistance			11	6	12	2						43
Council found Private Rented Sector with housing solutions in Borough (outside Borough)			-	4	4	4						21
- With financial assistance			4	4	3	4						20
- Without financial assistance			0	0	1	0						1
Adult Services Accommodation			0	0	0	0						0
Single Persons Gateway			43	27	34	20						178
Young Persons Gateway			36	19	17	12						88
Friends/Family			1	1	7	1						11
Measures to prevent Domestic Abuse			0	0	0	0						1
Mediation - returned to previous accommodation			1	3	1	0						10
Social housing			2	4	3	1						19
<b>Total alternative accommodation secured</b>			<b>99</b>	<b>65</b>	<b>80</b>	<b>42</b>						<b>378</b>

	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Percentage ended positively – priority (Would have been owed S75)			51	20	32	14							153
Percentage ended positively – no priority			48	10	48	29							227



Other Outcomes (Section 73)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Client withdrew/left TA			9	11	5	6							39
Refused offer of suitable accommodation			1	0	0	0							0
- Private rented			-	-	-	-							-
- Council			-	-	-	-							-
Unreasonable failure to cooperate			1	2	3	2							9
Change of Circumstance			-	-	-	-							-
Loss of Contact			-	-	57	19							230
No longer eligible			0	0	0	0							0
End of duty, all reasonable steps taken - No final housing duty owed (No final duty Likely)			7	9	11	8							12
End of duty, all reasonable steps taken - final housing duty owed (Likely Final Duty)			65	73	63	54							221
Found to be intentionally homeless			0	0	1	1							6
Mistake of fact			0	0	0	0							4
<b>Total</b>			<b>154</b>	<b>152</b>	<b>140</b>	<b>90</b>							<b>521</b>

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Duty to help secure was accepted and where homelessness was relieved													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
% that had a duty to help secure accepted and homelessness relieved			57.89%	44.22%	55.94%	40%							61.26%
Number Prevented			99	65	80	42							378
Owed the duty, excluding non-engagement			171	147	143	105							617

Duty to Secure (s75)													
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
Number of full duty decisions made			42	63	71	52							324
Average Days taken to accept full duty (duty to secure) after duty to help secure has ended			21 days	19 days	20 days	24 days							25 days

Households leaving Temporary Accommodation having been owed a Duty to Secure (Section 75)												Housing & Communities	
	April	May	June	July	August	September	October	November	December	January	February	March	YTD
<b>Client found Private Rented Sector Accommodation in Borough (outside Borough):</b>			3	7	1	1							26
- With financial assistance			0	0	0	0							0
- Without financial assistance			2	7	1	1							26
<b>Council found Private Rented Sector with housing solutions in Borough (outside Borough):</b>			2	2	0	0							10
- With financial assistance			2	2	0	0							8
- Without financial assistance			0	0	0	0							2
<b>Withdrawn/Left Temporary Accommodation</b>			2	-	-	-							4
<b>Otherwise ceased to occupy (abandoned, custody)</b>			-	-	-	0							12
<b>Friends/Family</b>			2	2	0	0							10
<b>Social housing:</b>			32	42	33	27							244
- Council			14	25	12	14							119
- CCHA			1	4	5	3							19
- Cadwyn			1	2	1	1							17
- Hafod			2	2	2	1							18
- Linc			0	2	1	1							6
- RCT Homes			1	0	0	1							3
- Taff			6	2	2	1							12
- UWHA			2	3	2	2							14
- WWHA			5	2	8	3							36
<b>No longer eligible</b>			0	0	0	0							0
<b>Failure to cooperate</b>			0	0	0	0							0
<b>Intentionally homeless from TA</b>			1	2	2	2							16
<b>Mediation - returned to family</b>			-	-	-	-							-
<b>Found PRS after negative decision (after duty to secure ended)</b>			0	3	1	1							8
<b>Total</b>			42	59	38	31							326

Temporary Accommodation

Family Gateway												
	April	May	June	July	August	September	October	November	December	January	February	March
Number of emergency placements			30	19	14	28						
Number of non-emergency placements			16	22	26	13						
Number of positive transfers between accommodation			18	37	31	32						
Number of clients moved on to Social Housing			34	6	7	8						
Number of clients moved on to Private Rented Accommodation			8	4	1	2						
Planned Placement			35	16	14	4						
Average time in TA												
Average time in TA – leased accommodation (on leaving)												
Average time in TA – Hostel accommodation (on leaving)												
Total currently in Family Gateway												

Single Person Gateway												
	April	May	June	July	August	September	October	November	December	January	February	March
Number of emergency placements into Frontline accommodation			111	94	99	84						
Number of non-emergency placements into Frontline accommodation												
Number of rough sleepers accommodated			8	11	1	8						
Number of positive move ons through the Gateway			69	52	49	75						
Number of SAAF's assessed			89	91	55	88						
Number placed into Secondary Accommodation			16	11	6	10						
Number of clients moved on to Social Housing			14	12	11	7						
Number of clients moved on to Private Rented Accommodation			6	7	10	6						
Average time in Frontline accommodation												
Average time in Secondary accommodation												
Total currently in SPG												

Young Person Gateway (YPG)												
	April	May	June	July	August	September	October	November	December	January	February	March
Number of emergency placements			29	17	17	11						
Number of positive moves through Young Person Gateway			4	12	7	5						
Number placed outside YPG due to risk			4	0	1	4						
Number placed outside YPG due to no availability			2	1	1	1						
Number of tenancy training referrals received			5	7	4	7						
Number of clients moved on to Social Housing			1	7	1	0						
Number of clients moved on to Private Rented Accommodation			1	0	6	3						
Average time in YPG												
Average time in YPG – Hostel accommodation (on leaving)												
Total currently in YPG												

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Current Length of Time in Temporary Accommodation						
	1 - 4 Weeks	4 - 13 Weeks	13 - 26 Weeks	6 - 12 months	Over 12 months	Total
Hostel Accommodation	41	48	63	63	34	249
Refuges & Homeless at Home	1	2	3	4	1	11
Properties	20	74	109	122	55	380
Leased Accommodation	62	124	175	189	90	640

Temporary Accommodation provided including duty to secure												
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
Households Accommodated	655	671	666	648	646	635						
Average length of stay, current occupants	201 days	186 days	184 days	187 days	191 days	196 days						

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Households Leaving Temporary Accommodation													
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	YTD
Left Temporary Accommodation (all)			92	91	46	47							602
Total length of stay in days			18,396	21,329	15,899	12,618							122,449
Average length of stay in days (on leaving)			200	234	346	268							203 days

Households in Temporary Accommodation and Under Offer												
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
<b>Band A</b>			5	5	4	3						
- Council Offer			5	5	4	3						
- Housing Association Offer			0	0	0	0						
<b>Band Bi</b>			64	68	71	67						
- Council Offer			35	44	35	29						
- Housing Association Offer			29	24	36	38						
<b>Band Bii</b>			41	35	1	1						
- Council Offer			0	0	0	0						
- Housing Association Offer			0	0	1	1						

Households in Temporary Accommodation												
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
Final Duty Owed			407	380	452	367						
Final Duty ended, not under appeal			14	10	12	12						
- Appealing against the suitability of a permanent offer			4	2	2	3						
- Average length of ongoing appeal (days)			96	40	68	57						
- Appealing against discharge of final duty			1	1	2	1						
- Average length of ongoing appeal (days)			44	30	21	30						
Households in Temporary Accommodation, owed the duty to help secure			239	254	178	252						
Households in Temporary Accommodation, not owed a final duty			1	2	7	6						
- Appealing against an intent			2	2	4	4						
- Average length of ongoing appeal (days)			72	40	13	36						

Social Services Cases <i>Data Development</i>												
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
Number of cases			1	1	1	0						
Length of stay (average current)			71	102	120	-						
Length of stay (average on leaving)			-	-	120	-						

Numbers in TA under review <i>Data Development</i>												
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
Review ongoing												
Average time (current/when completed)												
review finalised - pending eviction												
Average time (current/when completed)												

Completed Reviews	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	YTD
<b>Eligibility</b>			0	0	0	0							1
- Decision Overturned			0	0	0	0							0
- Decision Upheld			0	0	0	0							1
<b>Discharge of Duty to Prevent Homelessness</b>			1	1	1	1							3
- Decision Overturned			1	0	0	0							1
- Decision Upheld			0	0	0	0							1
- Request withdrawn at applicants request			-	1	1	1							1
<b>No Interim Accommodation</b>			1	4	4	4							8
- Decision Overturned			0	2	2	2							3
- Decision Upheld			1	2	2	2							3
- Revised decision no full duty accepted			-	0	0	0							2
<b>Discharge of Duty to help to secure</b>			1	1	1	1							3
- Decision Overturned			0	0	0	0							0
- Decision Upheld			1	1	1	1							3
<b>End of Final Duty</b>			-	1	1	1							5
- Decision Overturned			-	0	0	0							3
- Decision Upheld			-	1	1	1							2
<b>Intentionally Homeless</b>			2	2	2	2							6
- Decision Overturned			1	1	1	1							2
- Decision Upheld			0	1	1	1							2
- Request withdrawn due to change in circumstances			-	0	0	0							1
- Decision Overturned but revised decision (not homeless)			1	0	0	0							1
<b>No Local Connection</b>			-	1	1	1							1
- Decision Upheld			-	1	1	1							1
<b>Not Homeless</b>			0	0	0	0							3
- Decision Overturned			0	0	0	0							2
- Decision Upheld			0	0	0	0							1
<b>Discharge of Duty to Secure</b>			0	0	1	0							1
- Decision Overturned			0	0	0	0							0
- Decision Upheld			0	0	1	0							1
<b>Suitability of Offer of Permanent Accommodation</b>			7	7	7	7							23
- Decision Overturned			3	5	5	5							14
- Decision Upheld			4	1	1	1							6
- Request withdrawn due to applicant's request			0	0	0	0							1
- Request withdrawn due to changes in circumstances			-	1	1	1							1
- Revised decision, no full duty accepted			0	0	0	0							1
<b>Total</b>			12	17	17	17							53

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Preventative Services

Disabled Facilities Service

	Target	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018
<b>Urgent DFG Cases</b>													
<b>No. of Exceptional Circumstances rec's received</b>		5	5	5	4	0	2	4	0	0	1	2	4
<b>No. of exceptional Circumstances visited within PI</b>	<b>Rec in prior to 10am same day, after 10 am next w/day</b>										1	2	3
<b>Number of Cases Completed</b>		1	3	2	1	0	2	2	0	0	3	4	3
<b>% of Completed Cases within PI</b>		100%	67%	100%	100%	100%	50%	100%	N/A	N/A	100%	100%	100%

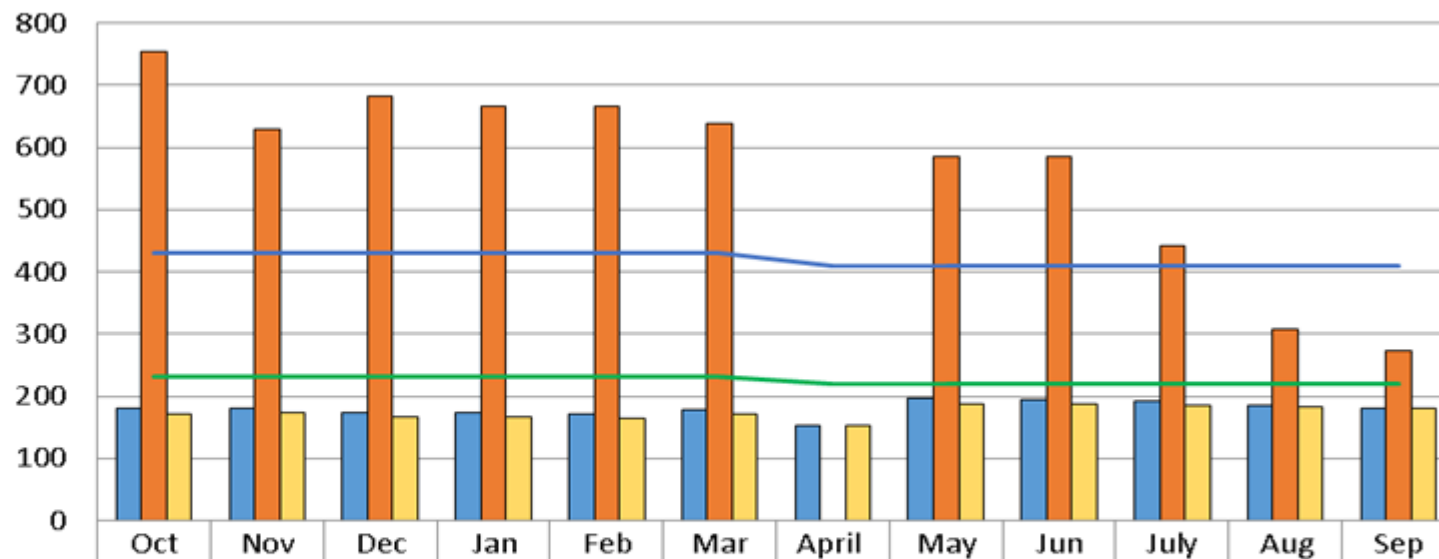
	Target	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	July 2018	Aug 2018	Sep 2018
<b>New Referrals received this month</b>		157	179	135	166	130	106	114	106	129	139	117	127
<b>The average cost of a mandatory grant – year to date</b>	<b>£6,800 (Welsh Ave £7880)</b>	£6,244	£6,292	£6,146	£6,084	£6,057	£6,278	£5,799	£6,500	£6,379	£6,492	£6,137	£6,139
<b>Number of clients waiting for Major Adaptations to be approved (excluding Safety at Home)</b>		367	426	441	445	402	417	419	353	305	276	235	258
<b>Average waiting time for adaptations to be Approved.</b>	<b>Target 10 weeks</b>	10 weeks	10 weeks	11 weeks	12 weeks	12 weeks	13 weeks	13 weeks	13 weeks	13 weeks	12 weeks	12 weeks	10 weeks

**Comments:** Average spend remains under target and the average time taken for adaptations to be approved has reduced to the target time for the first time in 2018/19. It is worth noting that whilst the number of client's waiting has increased for a major adaptation to be approved it is still substantially lower than previous months and more referrals have been received when compared with previous years.

**PSR/002 – Welsh Government PI - The average number of calendar days taken to deliver a Disabled Facilities Grant**

<b>Children’s PSR/009(a)</b>	The average number of calendar days taken to deliver a Disabled Facilities Grant for Children and young people
<b>Adults PSR/009(b)</b>	The average number of calendar days taken to deliver a Disabled Facilities Grant for Adults

**PAM15 YTD**



	Oct	Nov	Dec	Jan	Feb	Mar	April	May	Jun	July	Aug	Sep
Completions on PY & CY Approvals	181	181	173	173	172	179	153	196	195	193	184	181
Childrens	754	629	682	667	667	638	0	585	585	441	308	272
Adults	172	173	167	166	164	172	153	187	187	184	182	180
Target	200	200	200	200	200	200	190	190	190	190	190	190
Welsh Average	231	231	231	231	231	231	219	219	219	219	219	219

**The WAG PSR002 return accounts for Mandatory DFG’s and Low Cost Adaptations valued £3K and above. The respective breakdowns for the operational service delivery are shown below.**

Please note the PSR/002 WG Return requests data to be shown as number of calendar days. Internal PI’s measuring the operational stages of the process are set in working days.

Mandatory DFG's – Performance 2017/18 & 18/19															Housing & Communities	
Process Steps	Previous Years Figure	Target	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	YTD Avg	
Average Number of Working Days:																
Initial Client Contact with OT Service - OT Rec Received by DFG	10	40 working days	16	9	13	9	6	8	8	17	9	8	7	8	9	
OT Rec Received - Liaison Visit Undertaken	14	20 working days	12	14	12	14	13	15	11	14	13	10	10	10	14	
Liaison Visit – ILO Process complete	-	15 working days										4	6	5	9	
ILO Process completed – Allocated to Project Officer	-	5 working days										6	5	5	9	
Allocated to Project Officer - Completion of Survey	15	20 working days	19	13	16	20	17	14	23	20	23	19	25	13	33	
Completion of Survey - Purchase Order Generated.	20	20 working days	43	30	13	26	19	24	43	37	26	23	23	31	29	
Purchase Order Raised with Contractor - Completion of Works	54	60 working days	68	65	71	53	47	41	46	60	53	54	49	55	50	

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Low Cost Adaptations & Stair lifts 2017/18 & 18/19												
Process Steps	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Average Number of Working Days:												
Order Raised with C&R To Quotation Costs Received	10	7	9	9	7	8	10	8	10	17	10	11
Completion of Works	23	51	39	25	21	34	25	32	31	26	31	27

Targets		
	Current	Target
Current Spend	£3.48m	£2.25m
Current Approvals	£6.1m	£5.55m
Fees Generated to date	£736K	£640K

#### Comments:

The changes to the allocation process have improved the time taken to undertake the first survey and this is now below target for the first time this financial year.

The Completion of Survey to Purchase order Generated has increased. This has been identified as officers not being proactive in addressing their work load in date sequence. This has now been address and improvements will be seen within the next 2 Months.

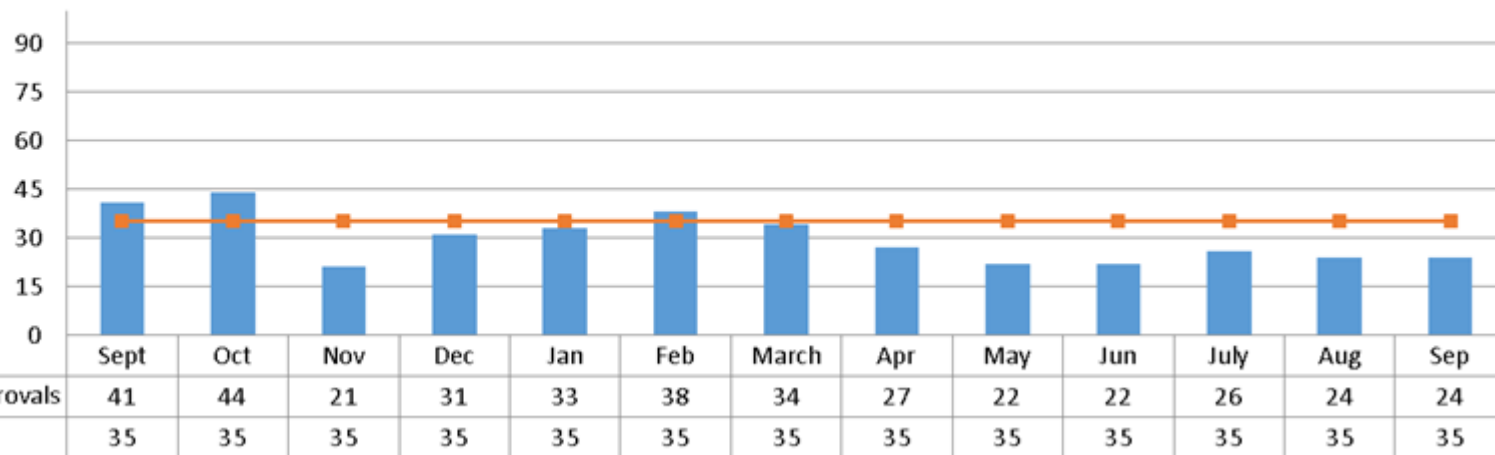
Preventative Intervention Works		Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Number of Requests Received		83	85	106	61	103	104	77	101	90	149	123	141	107
Ave No. of W/Days to Completion Year to Date:	<b>TARGET 35 W/Days</b>	39 week days	39 week days	40 week days	33 week days	19 week days	34 week days	40 week days	22 week days	28 week days	24 week days	22 week days	22 week days	23 week days

**Comments:** The marginal increase in completion times during this month reflect the additional work passed to the contractor during August. The time taken to complete is still well below the target time of 35 days and reflects the food service being provided to our clients.

Low Cost Adaptations Internal PI

PSR006 Low Cost Adaptations

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**PSR/006** The average number of calendar days taken to deliver low cost adaptation works where the Disabled Facilities Grant process is not used.

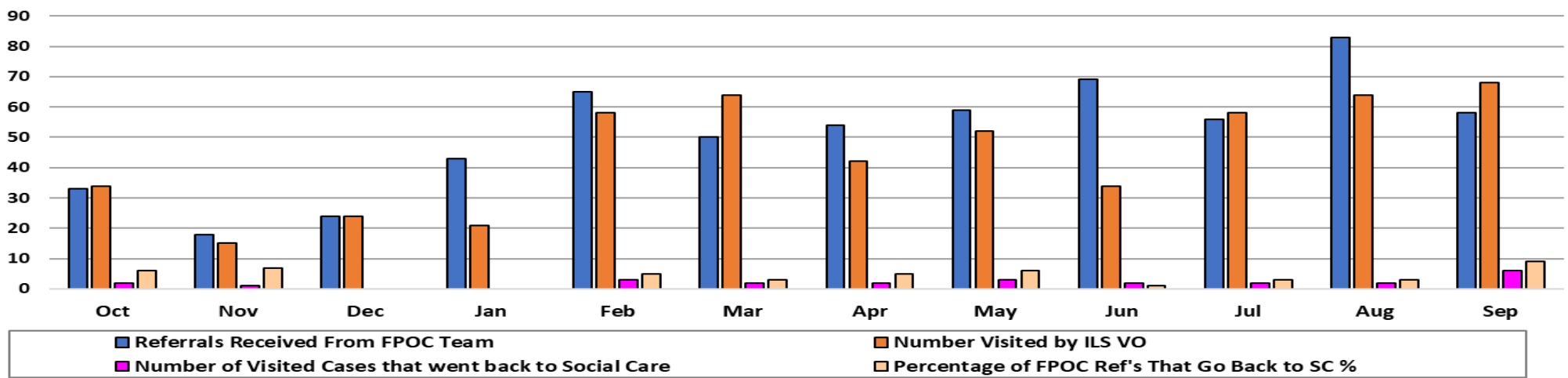
	<b>Q1</b>
<b>BRE Savings to Health and Society</b>	<b>£782,803</b>

First Point of Contact Calls														
	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD 18/19	
<b>First Point of Contact Calls INBOUND:</b>	1,218	1,233	1,164	1,759	1,554	1,461	1,480	1,529	1,529	1,615	1,584	1,358	<b>9,095</b>	
<b>First Point of Contact Calls OUTBOUND:</b>	627	844	1,170	1,376	1,348	1,497	1,371	1,268	1,570	1,408	1,985	1,587	<b>9,189</b>	
<b>Average Answer Rate</b>	<b>Target 92%</b>	93%	85%	95%	94%	93%	95%	94%	94%	95%	96%	96%	97%	<b>95%</b>
<b>Information and Advice Resolved – Target 72%</b>	<b>Within FPOC</b>	75%	74%	75%	68%	69%	78%	74%	78%	74%	75%	76%	76%	<b>76%</b>
	<b>Outside FPOC</b>	25%	26%	25%	32%	31%	22%	26%	22%	26%	25%	24%	24%	<b>24%</b>

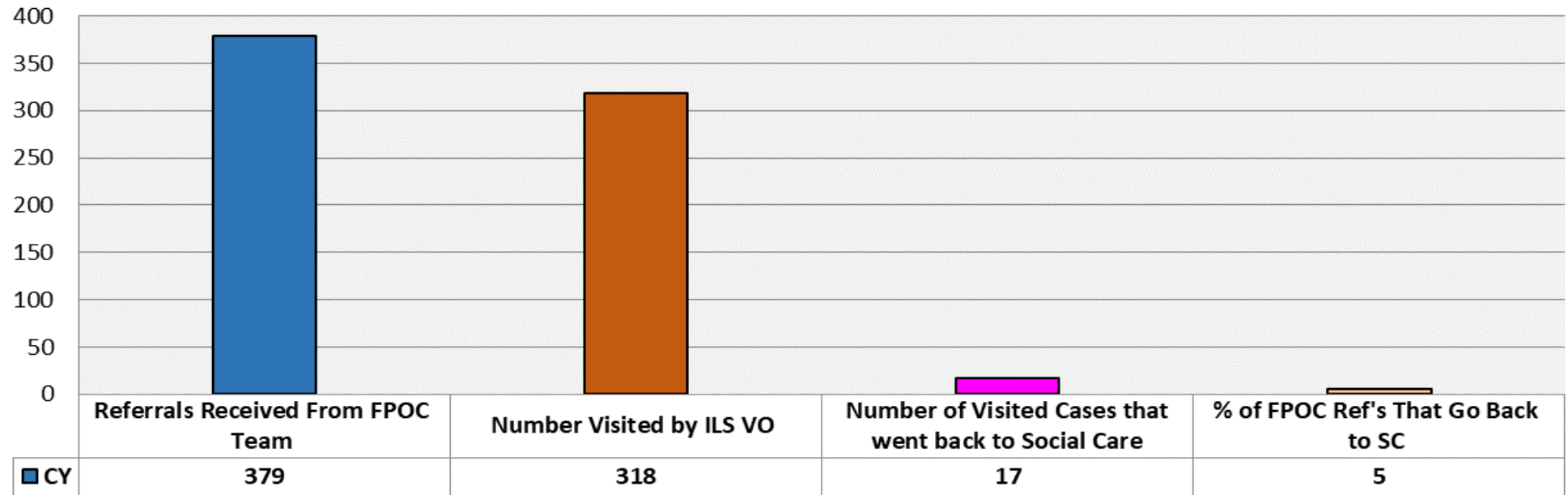
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**Comments:** A good month from FPOC with the four recent new starters becoming more confident in their ability to deal with inbound calls and achieving a 97% answer rate. The team also resolved 76% of cases within FPOC and are in a good position going forward to winter pressures. Call numbers are lower than average, however, this reflects the position in September 2017 which also saw a dip.

Monthly Referrals



### Cumulative Year to Date



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First Point of Contact & ILS Officer

Monthly Referrals 2017/18 & 18/19														
	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
Referrals Received From First Point Of Contact Team	48	33	18	24	43	65	50	54	59	69	56	83	58	379
Number Visited by Independent Living Services Visiting Officer	43	34	15	24	21	58	64	42	52	34	58	64	68	318
Number of Visited Cases that went back to Social Care	3	2	1	0	0	3	2	2	3	2	2	2	6	17
Percentage of FPOC Ref's That Go Back to Social Care %	7%	6%	7%	0%	0%	5%	3%	5%	6%	1%	3%	3%	9%	5%

Visits	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	CY 18/19
Number of DFG Visits	87	97	83	87	81	60	35	36	30	45	43	40	229
Number of Domiciliary Visits	68	47	20	54	38	78	51	85	59	72	62	81	410
Number of Residential Visits	30	27	25	36	29	36	36	42	40	35	25	31	209
Number of Holistic only Visits	64	46	29	38	151	163	117	126	126	112	117	139	737
Number of Follow Up Visits	7	11	6	17	7	14	11	14	20	14	17	23	99
<b>Total Number of visits</b>	332	299	225	331	306	351	250	319	275	278	264	314	1,700
<b>Desktop</b>													
Number of Desktop assessments (DOM, RES and HOL)	82	85	61	66	53	60	78	84	75	71	180	77	565
Number of Desktop Re-Assessments	90	157	142	132	401	639	72	16	49	64	173	78	452
<b>Total Number of desktop assessments/ audits</b>	173	242	203	198	454	699	150	100	124	135	353	155	1,017

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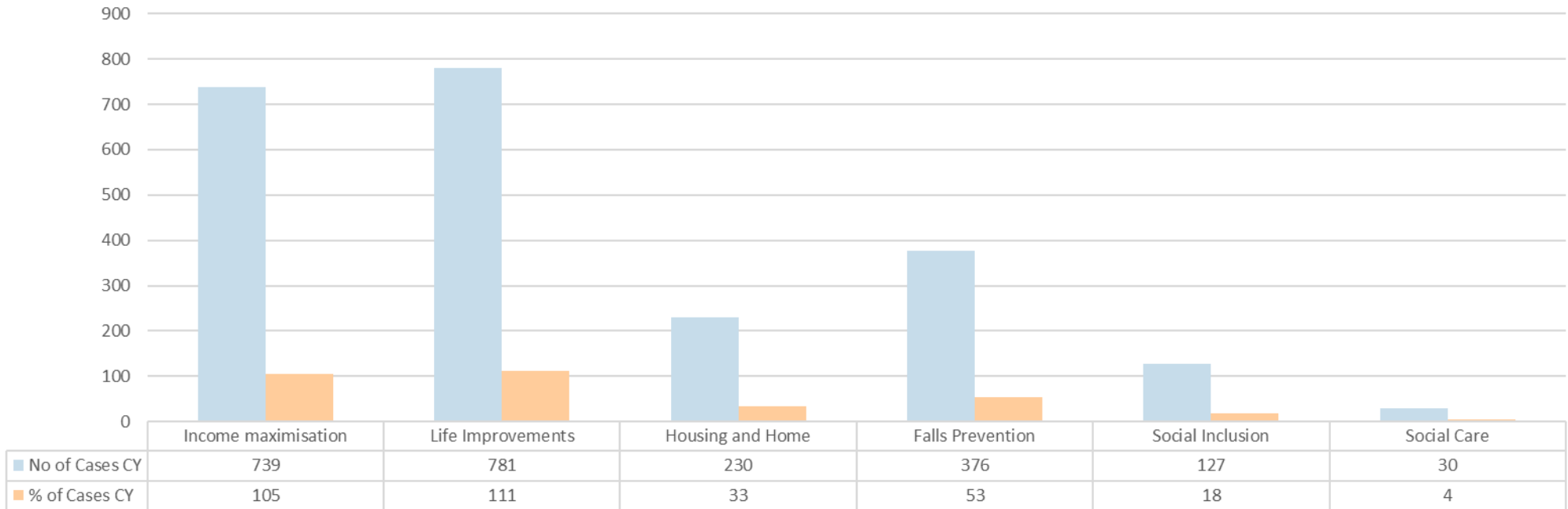
**Comments:** The number of visits completed across the team is comparative to last September. In addition the visits reflect the increase in domiciliary referral received towards the end of August and therefore visited in September. Cases waiting has reduced and more visits are being completed within the 15 working days after catching up following the holiday season and increased holistic referrals in August.

	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19	May 19	Jun 19	Housing & Communities
<b>VISITS waiting within 15 working days</b>													
Number of DFG Visits	18	12	13										
Number of DOM Visits	37	21	56										
Number of RES Visits	21	11	18										
Number of Holistic only Visits	44	22	40										
<b>TOTAL</b>	<b>120</b>	<b>66</b>	<b>127</b>										
<b>VISITS waiting over 15 working days</b>													
Number of DFG Visits	5	4	4										
Number of DOM Visits	12	18	13										
Number of RES Visits	1	3	3										
Number of Holistic only Visits	6	28	5										
<b>TOTAL</b>	<b>24</b>	<b>53</b>	<b>25</b>										
<b>Postal financial assessments</b>													
Number of DFG Visits	0	0	0										
Number of DOM Visits	4	3	1										
Number of RES Visits	7	4	1										
Number of Holistic only Visits	0	0	0										
<b>TOTAL</b>	<b>11</b>	<b>7</b>	<b>2</b>										
<b>Referrals received</b>													
Number of DFG Visits	40	32	30										
Number of DOM Visits	129	142	137										
Number of RES Visits	59	74	48										
Number of Holistic only Visits	106	115	124										
<b>TOTAL</b>	<b>334</b>	<b>363</b>	<b>339</b>										

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### Holistic Outcomes Year to Date



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**Customer Satisfaction survey results:**

100% are satisfied with the ILS service  
 92% are able to remain in their own home more independently  
 92% feel ILS has improved the quality of their life  
 (one person is seeking residential care and therefore did not wish to remain in their own home more independently)

**Comments:**

*"Absolutely excellent service. Without it people wouldn't get anywhere. The support and information provided is great!"*  
*"As I've already said, if it wasn't for Jackie Barr, I wouldn't have this scooter, can't thank her enough."*  
*"What a lovely lady Pat is, felt we were talking to a friend. Can't thank her enough for her advice."*

**Value of Income Maximisation for Current Financial Year: £1,839,584**

Occupational Therapy 2017/18												Housing & Communities		
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	YTD
<b>No. of OT Referrals Received</b>		341	350	260	357	321	278	329	371	382	393	400	309	<b>2,184</b>
<b>No. of new cases received broken down into the source of the referral</b>	<b>FPOC/ILS</b>	38	39	28	57	40	35	60	57	57	49	53	0	<b>276</b>
	<b>Self/Relative</b>	104	117	52	101	90	64	114	95	128	137	127	95	<b>696</b>
	<b>FPOC Social Work</b>												18	<b>18</b>
	<b>FPOC CO's</b>												13	<b>13</b>
	<b>ILS VO's</b>												25	<b>25</b>
	<b>Care and Repair</b>												7	<b>7</b>
	<b>GP's</b>												18	<b>18</b>
	<b>Housing</b>												16	<b>16</b>
	<b>CRT</b>												7	<b>7</b>
	<b>Hospital</b>	37	42	33	34	33	44	36	43	47	46	49	33	<b>254</b>
	<b>Care/Agency</b>	30	31	32	43	44	36	25	36	38	42	35	25	<b>201</b>
	<b>Social Care</b>	48	41	39	28	22	43	24	29	25	38	27	37	<b>180</b>
	<b>Other</b>	84	80	76	94	92	56	70	99	87	81	98	15	<b>450</b>
<b>No. of People awaiting assessment</b>	<b>OT</b>	135	72	82	84	82	73	76	89	129	169	152	115	<b>115</b>
	<b>OTA</b>	141	137	209	100	128	169	168	195	231	158	204	138	<b>138</b>
<b>No. of people awaiting standard assessment outside of 4 week target time.</b>	<b>OT</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
	<b>OTA</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
<b>No. of people awaiting standard assessments outside of 8 week target time.</b>	<b>OT</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
	<b>OTA</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>

**Comments:** September has seen a significant decrease in both the OT and OTA waiting lists. Changes have been made to the front end of service with an OTA being placed there undertaking telephone assessments to resolve lower level referrals. A total of 40 telephone assessments took place, with only 3 needing to go on the waiting list for full assessment. Equipment and "Enable" showers were assessed for and will be evaluated once works complete. This way of working will be piloted through to the end of December 2018.

The OT waiting list has decreased as a result of a drop in the number of referrals received. Nobody is currently waiting outside of 8 weeks for an assessment. Out of the 309 referrals received 31 were dealt with via the provision of equipment and 20 deemed inappropriate.

A total of 32 "Enables" were put through to DFS (21 for showers and 11 for stair lifts), this is an increase on average figures as a result of both the OTA and the Contact Officers being trained to complete these assessments. The Contact team took a total of 1435 calls in September.

Occupational Therapy (Children's)

		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Total
<b>Number of OT Referrals Received</b>							11							<b>11</b>
	<b>Relative</b>						4							<b>4</b>
	<b>School</b>						1							<b>1</b>
	<b>Hospital</b>						4							<b>4</b>
	<b>Health Visitor</b>						1							<b>1</b>
	<b>Social Care</b>						1							<b>1</b>
	<b>Other</b>						0							<b>0</b>
<b>Number of OT assessments waiting</b>	<b>OT</b>						36							<b>36</b>
<b>Number of people awaiting standard assessments outside of 4 week target time</b>	<b>OT</b>						8							<b>8</b>
<b>Number of people awaiting standard assessments outside of 12 week target time</b>	<b>OT</b>						7							<b>7</b>

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**Comments:**

Excellent progress has been made in reducing both the number of people waiting for an assessment and the length of time they are having to wait since the service was transferred in August. At the time of transfer there were 47 people waiting for an assessment, some of which were over a year overdue. We have now seen this reduce to a maximum of 76 days overdue. Out of the 11 referrals received, 9 went onto the waiting list, 2 were deemed inappropriate.

## Occupational Therapy Reviews

Housing &amp; Communities

Occupational Therapy Reviews		Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
Number of new scheduled reviews Received		15	14	18	16	16	16	15	14	14	21	19	24	107
Number of Scheduled reviews outstanding		243	235	228	233	169	125	79	41	29	13	43	57	57
Number of Reactive Reviews received		26	14	25	27	11	16	23	18	15	6	15	26	103
Number of reactive reviews outstanding		6	6	8	8	3	4	8	3	3	1	5	13	13
Number of Visits completed		44	43	28	33	43	37	39	31	45	33	22	25	195
Actual saving and estimated Cost avoidance to Social Care through reduced packages of care due to OT	Actual Savings implemented from reviewed care plans	£53,536	£9,465	£16,953	£29,329	£29,378	£10,812	£33,280	£16,511	£64,215	£37,317	£796	£14,850	£137,869
	Actual Cost avoidance	£32,656	£20,800	£15,184	£21,840	£17,472	£40,768	£93,184	£8,736	£13,104	£13,728	£7,904	£16,016	£158,496
Number of double handled care reviews that resulted in reduction to single handed care due to OT intervention		14	12	4	2	13	10	12	7	20	12	6	11	68

## Comments:

There are currently 2 reductions, 1 increase and 1 preventative waiting to go through. Three single handed reviews were completed with "no change" being recorded on all of them.

Housing Resettlement Officers (HRO)								Housing & Communities						
	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
<b>Total Number of Cases where an HRO provided intervention</b>	6	32	25	15	30	22	19	27	25	16	22	17	14	124
<b>Total Number of Assisted Discharges with Direct HRO involvement:</b>	6	10	14	10	9	11	8	6	8	12	4	6	5	41
<b>Number of Assisted Discharges with Direct HRO involvement that were DETOC</b>	5	10	13	9	8	9	8	6	8	12	4	3	5	38
<b>Number of Cases ref to Stepdown within the month;</b>	4	3	4	2	5	3	2	3	2	1	2	1	2	11
<b>Number of Users of Step Down</b>	5	6	7	6	8	8	5	5	6	6	6	5	5	8 new
<b>Number of DETOC Users of Step Down</b>	5	6	6	6	8	8	4	5	6	6	6	5	4	8 new
<b>SD Usage</b>	88%	88%	81%	76%	78%	74%	71%	63%	63%	68%	68%	56%	69%	65%

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**Comments:**

Number of new cases and assisted discharges are low this month due to a member of staff being on leave for 2 weeks.

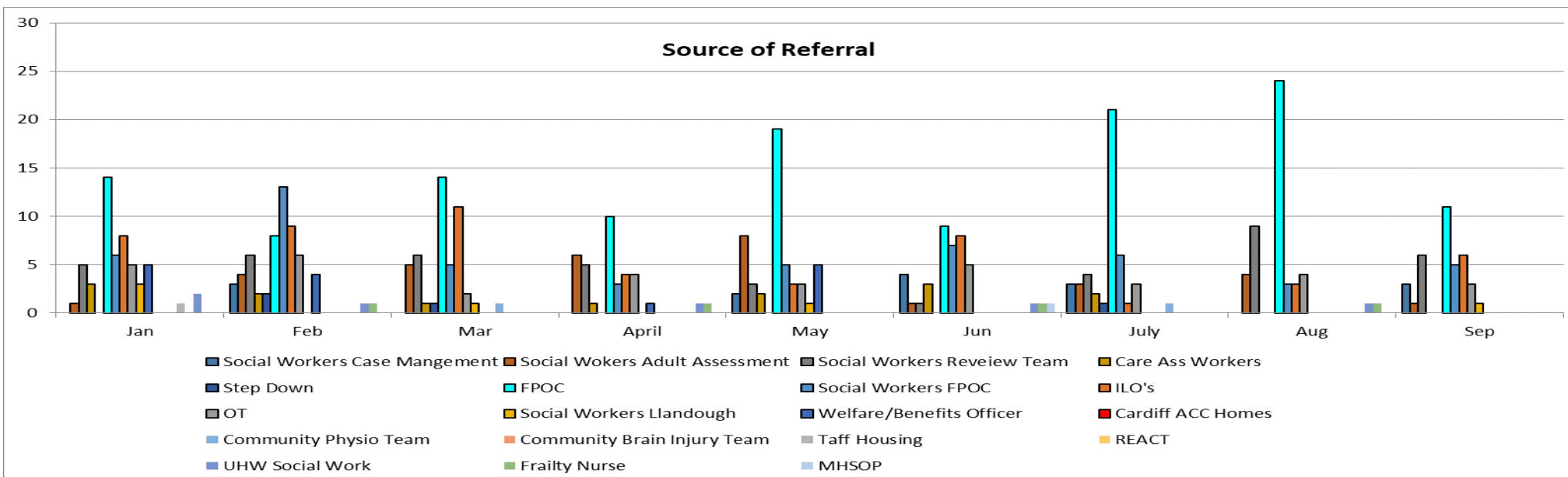
Referrals again in to step down have been low this month. At present there are only 2 patients on the UHB DToC list down to housing issues

144 Bed days were saved in September through use of step down avoiding costs to health of £39,600 (£275 per bed day)

	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
<b>Total Number of Referrals Received Each Month</b>	41	50	41	54	58	48	35	51	42	45	51	36	260
<b>Total Number of Referrals Allocated Each Month</b>	42	55	51	54	55	51	42	49	34	48	29	60	262

Types of Referral	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	YTD
<b>Older Person</b>	2	5	4	8	9	5							33
<b>Older with Dementia</b>	7	8	6	6	11	4							42
<b>Older Person with Dementia and Physical Disability</b>	1	10	3	2	4	1							21
<b>Older Person with a Physical Disability</b>	25	25	19	20	19	20							128
<b>Physical Disability</b>	3	3	10	9	8	6							39

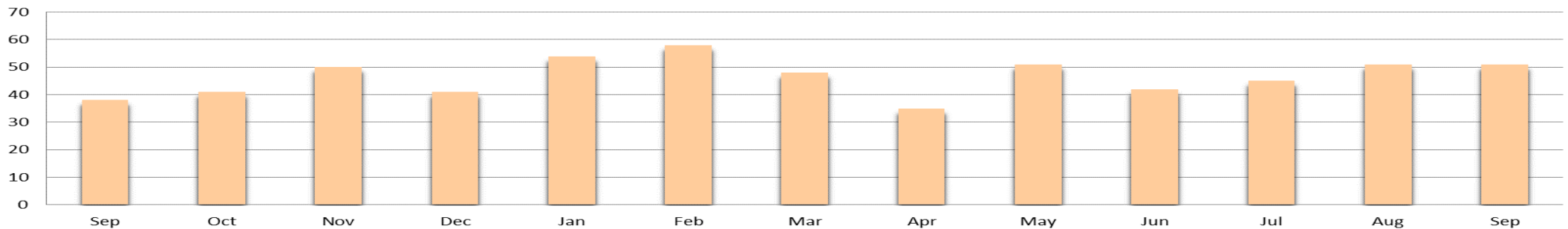
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Average Number of Days	Target	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19
Referral to → First Contact	20 W/Days	59	68	60	55	74	69						
First Contact → Initial Assessment	15 W/Days	10	5	7	6	14*	4						
Average number of sessions taken to Enable Service User(s) Initial Assessment to Closure.	6 sessions	4	3	4	3	4	4						
Number of completed Cases referred for Social Care		8	5	2	3	1	1						
Percentage of completed cases referred for social care		33%	23%	18%	14%	14%	4%						

	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	YTD
The percentage of people who feel reconnected into the community, through intervention from Day Opportunities.	73%	77%	80%	83%	100%	83%	95%	91%	88%	100%	86%	91%
Number of people who have been enabled by Day Ops Team to reconnect with their community	19	14	17	15	16	20	19	10	21	7	20	97

**Number of DOT Referrals Received**



**Comments:** The overall number of referrals has reduced this month. This relates to the work we have done with FPOC in providing more accurate and appropriate referrals as part of our Action Plan. 50% less referrals were received this month from FPOC. The average number of days from Referral to First Contact has reduced this month as staffing levels have improved and we have been able to allocate older work from our backlog. Due to the high number of closed cases this month much of the older work has been able to be allocated in September which will bring down the referral to first contact PI even more in October.

Joint Equipment Loan Service

Referrals	Target	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	YTD
Total Amount of Referrals Received by the JES Loan Service		2,659	2,120	2,832	2,656	2,507	2,440	2,683	2,471	2,720	2,739	2,345	15,398
<b>Completed Within 5 W/Days</b>													
JES Total	<b>76%</b>	84%	83%	82%	74%	68%	66%	82%	82%	81%	75%	78%	77%
		1,818	1,363	1,758	1,481	1,326	1,347	1,768	1,665	1,779	1,619	1,530	9,708
Total Number within 5 days		1,918	1,451	1,860	1,557	1,392	1,424	1,849	1,759	1,865	1,684	1,621	10,202
Total Number of Successful Visits within 5 W/Days		1,818	1,363	1,758	1,481	1,326	1,347	1,768	1,665	1,779	1,619	1,530	9,708

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Same/Next working Day Service	Apr 18	May 18	June 18	July 18	Aug 18	Sep 18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	CY 18/19
Total number of same working day deliveries.			2	9	1	4							16
Total number of next working day deliveries			9	8	17	12							46
Total number of non-deliveries same/next working day			0	0	5	1							6

**Comments:**

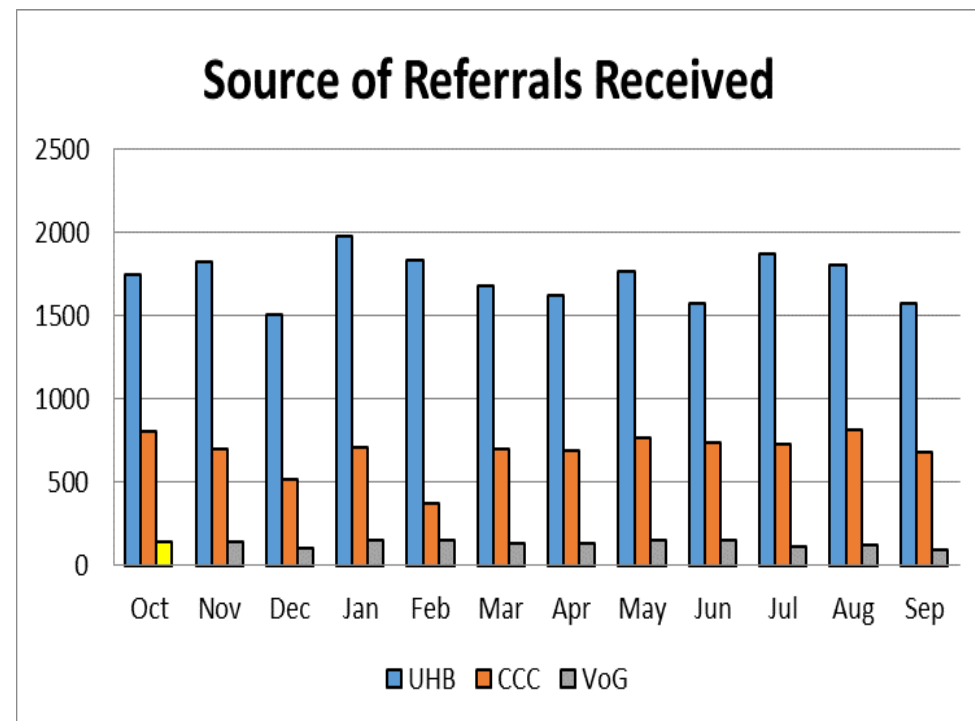
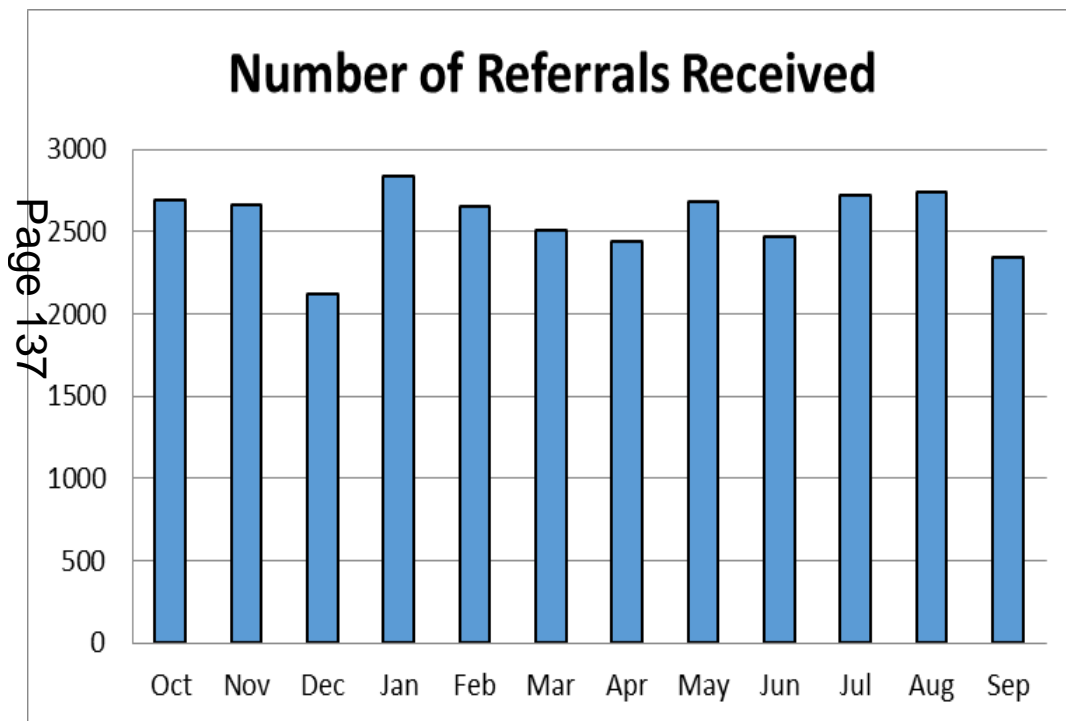
The number of 5 working day deliveries made closely correlates to the number of referrals received and always has. There will always be a number of calls that are made outside of the 5 working day target due to legitimate reasons but the overall number of calls made within 5 working days is directly affected by the number of referrals made.

SNWD non-delivery is due to a relative refusing delivery. JES was unable to contact via telephone and on day the relative said they didn't want the bed.



Joint Equipment OT Service

	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	YTD
<b>Number of People able to remain at home - as a result of service</b>	31	20	17	24	32	14	4	0	21	15	19	8	67
<b>Number of Hospital Discharge cases Facilitated - as a result of service</b>	0	4	6	3	4	4	1	0	2	2	2	0	7
<b>Amount of Equipment Recycled</b>	31	20	13	24	33	12	4	0	22	15	19	9	69
<b>Cost Avoidance of using Recycled Equipment</b>	£12,062	£8,044	£2,696	£5,788	£13,121	£8,549	£1,016	£0	£15,627	£8,065	£10,498	£6,451	£42,673



## Libraries &amp; Hubs

		April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Year to Date	% + / - on previous year
Llanrumney Hub	Advice	510	570	596	577	441	422							3,116	-20%
	2017 / 2018	532	714	714	674	625	624							3,901	
	Book Issues	1,932	2,212	1,955	3,080	3,239	2,167							14,585	-7%
	2017 / 2018	2,443	2,124	2,124	2,868	3,306	2,662							15,718	
	Footfall	8,401	9,168	9,154	9,856	9,977	8,596							55,152	-15%
	2017 / 2018	9,400	10,736	10,736	10,794	10,673	11,987							64,986	
	Internet	1,196	1,376	1,388	1,244	1,694	1,238							8,086	8%
2017 / 2018	1,270	1,174	1,174	1,290	1,302	1,322							7,498		
St Mellons Hub	Advice	278	243	260	336	322	426							1,865	-
	2017 / 2018	571	680	644	517	524	419							3,355	
	Book Issues	2,299	2,320	2,536	3,246	3,688	3,451							17,540	-
	2017 / 2018	4,257	4,357	4,259	5,122	5,588	3,129							26,712	
	Footfall	363	336	220	500	7,788	13,488							21,276	-
	2017 / 2018	8,472	9,104	9,303	10,342	11,775	-							48,996	
	Internet	256	244	262	220	2,216	4,464							7,662	-
2017 / 2018	8,472	9,104	9,303	1,276	1,404	830							7,066		
Rumney Hub	Advice	100	84	63	127	73	91							538	-27%
	2017 / 2018	85	132	134	159	64	72							646	
	Book Issues	1,346	1,495	1,298	1,676	1,904	1,547							9266	-6%
	2017 / 2018	1,481	1,440	1,226	2,078	1,995	1,586							9806	
	Footfall	6,275	6,972	5,812	6,238	6,868	7,500							39665	-11%
	2017 / 2018	5,414	6,583	12,712	7,515	6,819	5,372							44415	
	Internet	448	540	536	668	746	612							3550	-7%
2017 / 2018	802	680	638	674	434	574							3802		
Grangetown Hub	Advice	671	794	723	715	596	717							4,216	2%
	2017 / 2018	569	658	728	727	675	788							4,141	
	Book Issues	2,606	2,676	2,902	3,147	3,133	3,034							17,498	-3%
	2017 / 2018	2,964	2,434	2,495	3,427	3,712	2,926							17,958	
	Footfall	11,961	13,375	13,225	13,716	11,804	12,898							76,979	-1%
	2017 / 2018	11,224	12,624	12,505	13,267	13,710	13,939							77,388	
	Internet	2,580	2,638	2,474	2,402	2,468	2,380							14,942	-9%
2017 / 2018	2,460	2,904	2,746	2,704	2,850	2,700							16,364		

		April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Year to Date	% + / - on previous year
Ely Caerau Hub	Advice	1,057	945	1032	1,150	1,019	1,090							6,293	-16%
	2017/2018	1,109	1,344	1,309	1,309	1,182	1,269							7,522	
	Internet	6,992	7,206	3,568	3,976	3,052	3,160							27,954	-18%
	2017/2018	5,422	5,964	5,708	5,534	6,056	5,392							34,076	
	Book Issues	3,657	3,482	3,394	4,471	5,061	3,473							23,538	-13%
	2017/2018	4,235	4,087	3,826	4,963	5,744	4,296							27,151	
	Footfall	15,496	16,032	16,011	17,780	17,396	16,534							99,249	-1%
2017/2018	15,192	16,290	15,990	17,992	17,978	16,588							100,030		
Fairwater Hub	Advice	295	293	281	294	298	291							1752	-23%
	2017/2018	306	415	456	394	340	371							2,282	
	Internet	668	608	546	790	768	698							4,078	0%
	2017/2018	676	504	802	728	758	614							4,082	
	Book Issues	3,020	3,342	3,158	3,928	4,578	3,406							21,432	-8%
	2017/2018	3585	3,301	3,549	4,207	4,959	3,795							23,396	
	Footfall	6,003	5,910	6,728	6,209	6,365	6,493							37,708	2%
2017/2018	5,528	5,944	6,171	6,606	6,289	6,533							37,071		
Butetown Hub	Advice	285	310	301	306	333	321							1,856	-14%
	2017 / 2018	316	413	427	313	333	350							2,152	
	Book Issues	14	23	212	13	92	42							396	56%
	2017/2018	67	19	14	68	66	20							254	
	Footfall	1,206	1,018	1,103	862	1,001	1,200							6,390	-29%
	2017 / 2018	603	1,800	1,726	1,689	1,561	1,593							8,972	
	Internet	105	101	175	227	110	108							826	-25%
2017 / 2018	95	187	95	234	169	180							1100		
STAR Hub	Advice	575	570	613	597	486	503							3,344	6%
	2017/2018	479	506	591	540	500	551							3167	
	Internet	1,296	1,204	984	1,324	1,614	1,298							7,720	-26%
	2017/2018	1,752	1,692	1,576	1,778	1,868	1,716							10,382	
	Book Issues	1,946	2,050	2,320	2,939	2,695	2,260							14210	-7%
	2017/2018	2,173	2,270	2,143	3,003	3,088	2,596							15273	
	Footfall	12,968	12,972	12,709	16,398	16,309	13,557							84913	11%
2017/2018	11,282	12,185	12,686	14,262	13,609	12,646							76670		

		April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Year to Date	% + / - on previous year
Llandaff North & Gabalfa Hub	Advice	256	264	265	278	281	283							1,627	-17%
	2017/2018	254	317	356	338	327	358							1,950	
	Internet	924	928	696	850	906	954							5,258	-3%
	2017/2018	794	886	982	976	866	924							5,428	
	Book Issues	4,314	3,669	3,773	4,821	4,877	4,078							25,532	1%
	2017/2018	3,689	3,571	3,989	4,512	5,169	4,353							25,283	
	Footfall	9,407	9,829	8,959	9,977	9,370	11,474							59,016	20%
2017/2018	6,155	7,305	8,557	8,775	8,753	9,598							49,143		
Central Hub	Advice	4,125	4,082	4,152	4,364	4,002	3,972							24,697	-15%
	2017/2018	4,782	5,135	5,087	5,050	4,399	4,748							29,201	
	Internet	13,756	13,334	13,546	12,806	13,588	13,362							80,392	-29%
	2017/2018	18,884	19,586	19,658	19,688	19,654	15,932							113,402	
	Book Issues	31,336	30,803	29,050	32,786	34,675	30,897							189,547	-7%
	2017/2018	33,765	33,290	30,949	35,136	36,913	33,584							203,637	
	Footfall	55,464	54,560	50,985	52,913	54,975	53,997							322,894	-3%
2017/2018	50,145	55,133	51,932	56,485	58,945	60,705							333,345		
Powerhouse Hub	Advice	420	438	473	471	444	384							2,630	166%
	2017/2018	55	65	n/a	n/a	368	499							987	
	Internet	1,222	968	1,138	1,294	1,400	1,002							7,024	136%
	2017/2018	504	142	8	242	1,200	882							2,978	
	Book Issues	2,337	2,109	2,156	2,827	3,338	2,480							15,247	27%
	2017/2018	1,750	1,432	1,413	2,016	3,155	2,271							12,037	
	Footfall	13,586	15,390	15,048	15,375	14,008	14,523							87,930	256%
2017/2018	1,931	2,862	2,200	2,749	7,854	7,084							24,680		
Llanishen Hub	Advice	182	173	165	209	170	151							1,050	-
	2017/2018	0	0	0	0	0	0							0	
	Internet	410	428	428	396	306	359							2,327	485%
	2017/2018	66	82	52	76	58	64							398	
	Book Issues	2,756	2,832	2,804	3,743	4,447	3,512							20,094	74%
	2017/2018	1,814	1,823	1,807	2,084	1,895	2,156							11,579	
	Footfall	3,449	3,245	3,777	4,388	4,809	4,150							23,818	172%
2017/2018	1,800	1,244	1,555	1,555	1,244	1,360							8,758		

Library only buildings															
		April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Year to Date	% + / - on previous year
Canton	Book Issues	7,148	7,175	7,411	8,396	8,610	7,952							46,692	-10%
	2017/2018	8,197	7,833	7,833	9,536	9,233	8,994							51,705	
	Footfall	10,499	10,028	10,575	11,275	10,696	11,231							64,486	-4%
	2017/2018	10,313	11,135	11,135	11,648	11,415	12,151							67,496	
	Internet	2,104	2,270	2,138	2,200	2,120	3,436							14,268	4%
2017/2018	2,138	2,400	2,400	2,370	2,284	2,274							13,784		
Cathays	Book Issues	3,700	3,685	3,457	4,518	4,530	3,815							23,705	1%
	2017/2018	2,893	3,793	3,158	4,794	5,040	3,818							23,496	
	Footfall	4,147	4,911	5,204	2,083	4,203	4,772							28,320	9%
	2017/2018	3,876	4,322	4,322	4,361	4,867	4,775							26,071	
	Internet	1,208	1,312	1,142	1,256	1,354	1,306							7,578	0%
2017/2018	784	1,222	1,222	1,308	1,640	1,344							7,608		
Whitchurch	Book Issues	5,002	5,156	5,236	6,253	7,042	5,293							33,982	-9%
	2017/2018	5,834	5,470	5,470	6,665	7,702	6,212							37,238	
	Footfall	6,245	5,718	5,960	6,605	7,092	5,786							37,406	-28%
	2017/2018	8,972	6,601	10,778	9,040	9,891	7,030							52,312	
	Internet	352	350	568	444	468	370							2,552	-18%
2017/2018	556	516	513	566	498	470							3,122		
Penylan	Book Issues	9,341	9,681	9,296	11,704	12,791	10,471							63,284	-5%
	2017/2018	9,965	10,350	10,350	12,201	13,431	11,155							66,852	
	Footfall	24,363	23,106	25,023	26,982	27,246	25,357							152,077	-1%
	2017/2018	23,098	26,124	26,124	27,655	27,431	26,831							153,146	
	Internet	2,232	2,446	2,224	2,050	2,250	2,302							13,504	-16%
2017/2018	2,484	2,554	2,554	2,828	2,750	2,668							16,042		
Radyr	Book issues	5,492	5,050	4,594	6,604	7,376	6,043							35,519	2%
	2017/2018	4,606	5,091	5,091	6,722	7,5390	6,140							34,779	
	Footfall	3,061	3,412	3,120	4,077	3,842	3,757							21,269	-5%
	2017/2018	617	1,074	1,074	969	4,320	4,067							22,277	
	Internet	140	138	106	124	126	110							744	-30%
2017/2018	140	174	190	224	172	170							1,070		

		April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Year to Date	% + / - on previous year
Rhiwbina	Book issues	9,360	9,397	9,227	10,901	12,830	9,970							61,735	-5%
	2017/2018	10,081	9,763	10,066	12,408	12,452	10,353							65,123	
	Footfall	7,642	7,568	8,637	8,334	9,409	7,986							49,576	-16%
	2017/2018	8,209	8,691	9,401	13,980	10,228	8,671							59,180	
	Internet	362	344	414	348	410	340							2,218	-19%
2017/2018	466	428	498	456	442	452							2,742		
Rhydepennau	Book issues	8,418	8,506	8,538	10,831	11,307	9,659							57,259	-4%
	2017/2018	8,513	8,528	9,121	11,553	11,447	10,352							59,514	
	Footfall	6,066	5,948	6,281	8,678	7,784	6,874							41,631	-22%
	2017/2018	9,314	8,713	7,458	9,573	10,062	8,035							53,155	
	Internet	354	384	356	518	348	314							2,274	12%
2017/2018	310	342	354	368	326	338							2,038		

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	Sept 2018
Number of Events for Adults	185
Number of Adults at Events	1,866
Total Number of Events	294
Total Attendees at Events	4,077

	Sept 2018
Number of Events For Children	109
Number of Children at Events	2,211

**Central Library WiFi:**  
 41,444 individual users (daily average 1,381)  
 4.56TB Data transferred

- Top 5 Children's Books**
1. The Gingerbread Man
  2. Things That Go
  3. Babys Very First Truck Book
  4. Busy Halloween
  5. Digger World

- Top 5 Adult Fiction**
1. Murder Mile
  2. Revenge
  3. The Mystery of Three Quarters
  4. One Special Village
  5. The Midnight Line

- Top 5 Non fiction**
1. Life in the UK Test: Practice Questions
  2. This is going to Hurt: Secret Diaries of a Junior Doctor
  3. Free Country: A Painless Adventure the Length of Britain
  4. Boy: Tales of Childhood
  5. Thinking Out Loud: Love, Grief and Being Mum and Dad

- Top 5 Welsh Books**
1. Ysbryd yr Oes
  2. Dan ei Adain: Nofel
  3. Lliwiau Elfed: Elfed's Colours
  4. Hapus?
  5. Deg Deinosor Bach

## Customer Compliments

Cathays – “I consider Dan Edwards to be a most helpful and enjoyable member of staff, he must be a most valuable asset to Katherine’s team.”

Radyr – “A big thank you to all the staff at Radyr Library for their help with my son over the years. He is dyslexic and has received excellent support here and has secured a place at university which is a great achievement for him.”

Central – “Thank you very much to the staff on the information department for all their patience and hard work helping me.”

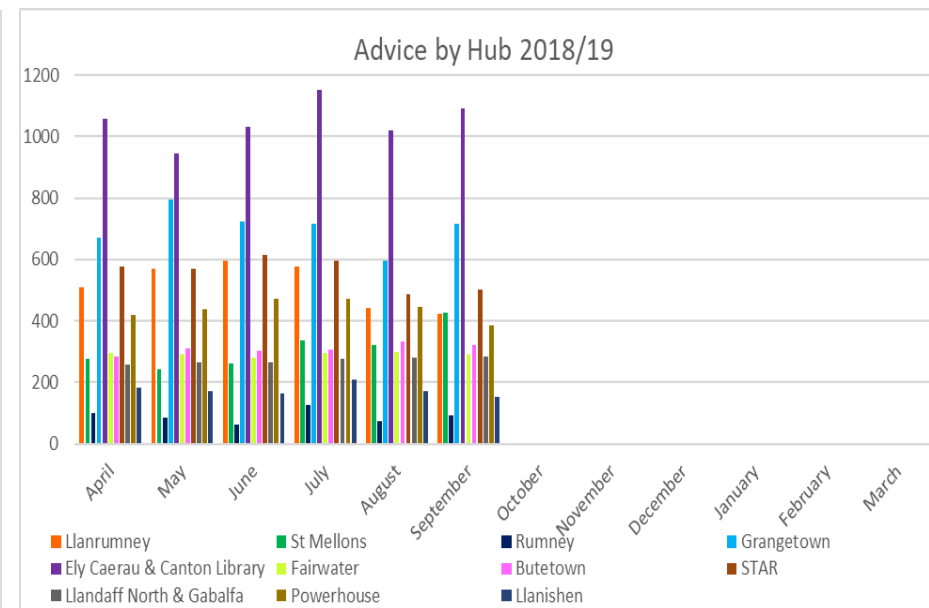
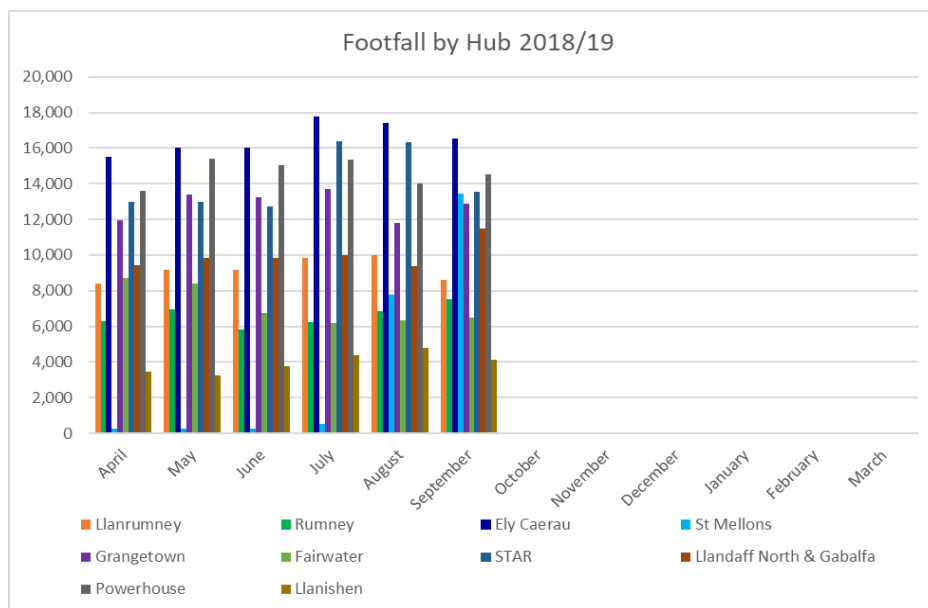
## Wales Public Library Standards Targeted Quality Indicators

WPLS	Measure	Points	Result 2017/18	Target 2018/19	Result YTD
Q13 Support for individual development	ICT Support	0.25	100%	100%	100%
	Literacy, numeracy, information & digital skills	0.25	100%	100%	100%
	Local and national e-government resources	0.25	100%	100%	100%
	Reader development (adults & children)	0.25	100%	100%	100%
Q14 Support for health and wellbeing	Book Prescription Wales scheme	0.2	100%	100%	100%
	Better with Books scheme	0.2k	100%	100%	100%
	Designated health and wellbeing collection	0.2	100%	100%	100%
	Information about healthier lifestyles	0.2	100%	100%	100%
	Signposting to health and wellbeing services	0.2	100%	100%	100%
Q1 6 User attendances at library events	Events/activities for those who have special requirements in all static service points open 10 hours per week or more	1	100%	100%	100%

### Wales Public Library Standards Targeted Quality Indicators

WPLS	Measure	Points	Result 2017/18	Target 2018/19	Result YTD
QI 7 Location of service points	Location of Service points	1	97%	97%	99%
QI 9 Up to date and appropriate reading material	Minimum of 243 items acquired per 1,000 population or a minimum spend of £2,180 per 1,000 population	1	199 or £1469	199 or £1331	118 or £310.90
QI 10 Welsh Language Resources	Minimum of 4% of the material budget or a minimum of £750 per 1,000 welsh speaking population	1	6% or £922	6% or £922	4% or £523.90
QI 11 Online Access	Minimum of 1 device giving internet access in every static library	0.5	100%	100%	100%
	Wi-Fi access in every static library	0.5	100%	100%	100%
QI 12 Supply of requests	Minimum of 64% of requests being available within 7 calendar days	0.5	66%	68%	83%
	Minimum of 79% of requests being available within 15 calendar days	0.5	77%	79%	94%

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**Llandaff North and Gabalfa Hub:**

The hub held a drop in for customers to discuss Rights of Way, and to help people fill out the survey. Cardiff Council has a Public Rights of Way (PROW) network of approx. 200 km, consisting of footpaths, bridleways and restricted byways, and many citizens attended on the day, including our gardening group.

September saw a bank of Nextbikes installed right outside the Hub. Since their installation just over a week ago they've been readily used by the local community and staff members, with lots of positive feedback.

Llandaff North and Gabalfa hub will be providing more courses this year, including the popular Wood Work and DIY course, using Social Media and How To Use Your Smart Phone or Tablet.

**North Hubs:**

This month the North Hubs have taken part in Tenants Federation presentation and NHS North Cluster event to help publicise the Hubs and the changes to the North structure and the incoming Wellbeing Hubs.

The North Hubs also held a RNIB tour and Open day to publicise the Hubs and what they offer to members of niche groups within Cardiff. Plans are for these to take place in the other north libraries and Hubs before the end of the year.

The North Hubs also took part in the Heritage Library treasure Hunt. Raising awareness of the Heritage Library and the facilities available there

**Ely and Caerau Hub:**

Several courses have started at the Hub this month allowing adults to develop their skills and prepare for jobs or further education. Nearly 200 places in classes have been taken by people wanting to upskill and develop, courses include ESOL, Basic Skills, Health and Wellbeing and Introduction to computers.

Weekly health walks are running from the Ely and Caerau Hub every Tuesday at 10am. The route, pace and walk lengths are planned to be accessible to all, and provide the opportunity for people to socialise and have some keep fit.

Local Police hosted a 'Paws on Patrol' event here. The aim of the event was to encourage dog walkers to register to the project and be on guard whilst out walking around the community and report anything suspicious.

**Fairwater:**

This month's coffee morning was the annual Macmillan fundraiser. The event was attended by all ages and was also attended by staff from the Leisure centre who were promoting their classes. The local Co Op donate tea and coffee.

Three of our previous volunteers have re-joined us in Fairwater this month. Petya, Olivia and Georgia are with us every Monday helping to prepare all the crafts and activities for our story and rhyme time sessions as well as any ad hoc events we have.

Our Meet and Make group have returned to us now that the school holidays are over. They meet every Thursday to knit and have a chat and cup of tea.

**East Hubs:**

In September Llanrumney Hub saw the close of yet another Summer Reading Challenge with around a 40% increase in participation from last year.

Lego, Table Tennis and Code Club have all continued with strong numbers each week due to their popularity over the summer holidays.

The over 50s dancers & Knit and Knatter groups have returned to their weekly sessions along with the ever-popular street dance class

Rumney Hub also hosted a fantastic Autumn event run by the Rumney Seedlings which was run in partnership with Grow Cardiff, RSPB, Buglife & Companies House. The 25 attendees all enjoyed gardening themed events, lovely food and plenty of things to do for all ages.

St Mellons Hub held a 5 a side football tournament with the St Mellons Hub staff, ISG contractors and Football Association of Wales to launch a "pop up pitch" initiative. ISG contractors handed over football equipment for the children of the local community to loan out free of charge from the hub to use on nearby green space. We've also added Judo, a football club and yoga to our activities all starting next month.

**South Hubs:**

Butetown Pavilion: This month we had a lovely turn out for the Railway network apprenticeship scheme taster session. Local youths aged 16-25 attended and had positive outcome from the session.

Butetown Pavilion also held a Fitzalan School Parent workshop, this was also a success with many of the local parents attending. Parents found the session useful to enable supporting their children with school work.

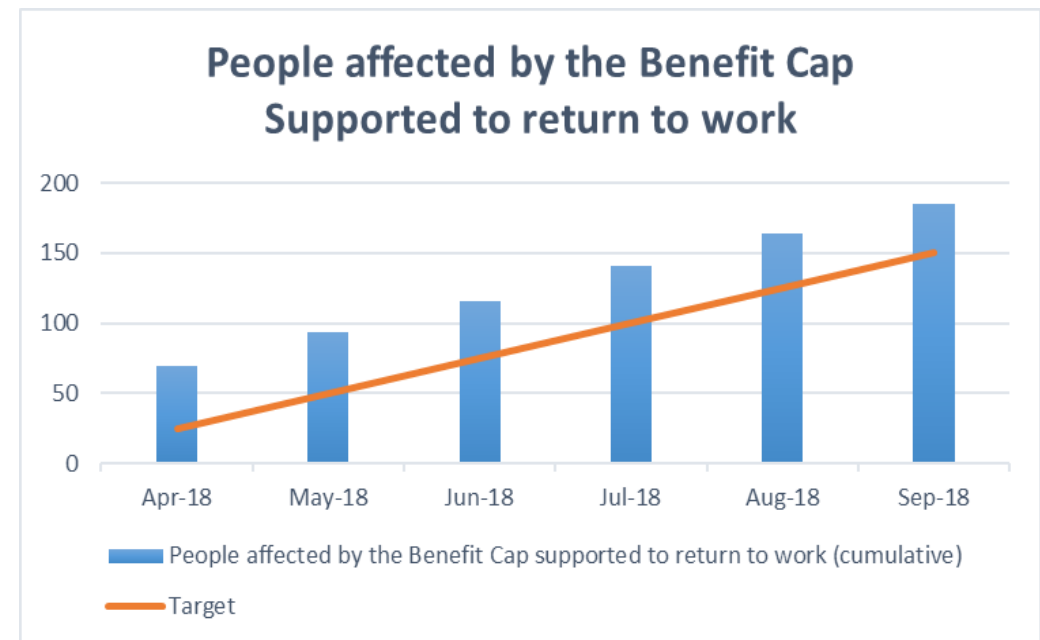
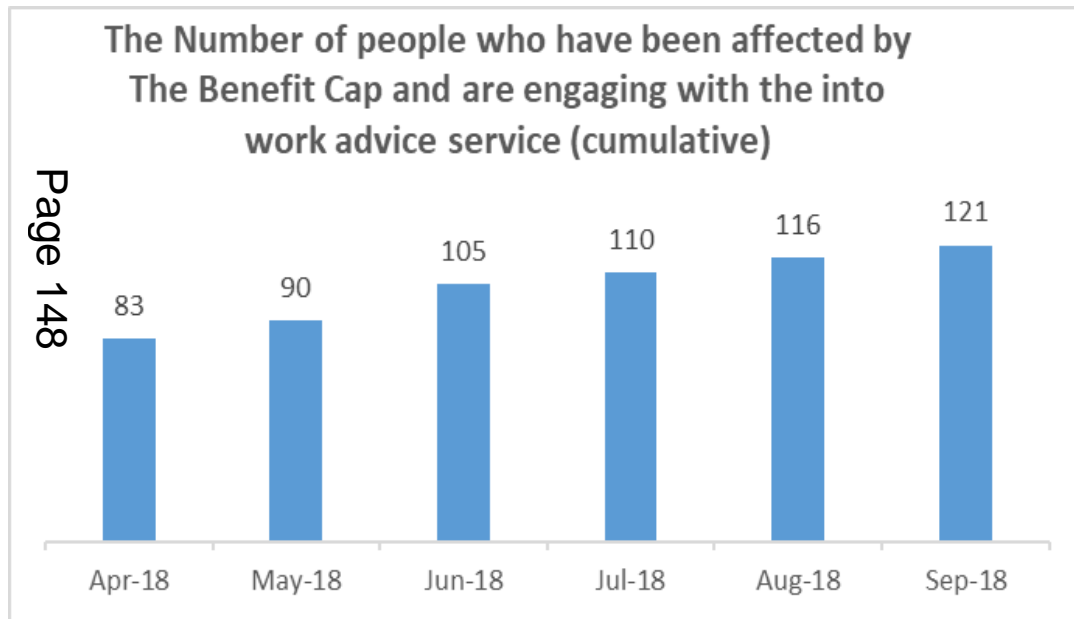
Macmillan Coffee mornings were well attended in STAR and Grangetown hub with many joining us for cake and coffee in support of the cause. Both STAR & Grangetown hubs have also had Care's Connect drop in sessions.

## Into Work Services & Adult Community Learning

Adult Community Learning															
	Target	Sep 2017	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	YTD
The percentage of people that pass accredited Into Work training sessions (includes ACL short courses)	92%	92%	87 %	88 %	88%	94%	94%	94%	92%	92%	88%	100%	95%	90%*	92%
Number of people who have attended non-accredited Into Work training sessions (includes ACL short courses)	1,500	156	97	128	116	147	171	103	83	126	101	140	67	134*	651
The number of learners who received accredited training									58	124	129	96	137	57*	601
*at time the data was submitted Highfield had not released all the results for September															

Into Work Advice Service															
	Target	Sep 2017	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	YTD
Percentage of Into Work Service users who feel more 'job ready' as a result of completing a work preparation course	98%	100%	100 %	100%	100%	100%	100%	100%	N/A	N/A	N/A	N/A	N/A	N/A	100%
No customers supported with Universal Credit	1,500								146	115	144	149	246	271	1,071
The number of clients that have been supported into Employment having received tailored support through the Gateway	623								22	16	97	26	145	25	331
People affected by the Benefit Cap who engaged with the service	300								83	7	15	5	6	8	124
Employers Supported	125								24	13	50	7	7	73	174
People supported into self-employment	n/a								0	64	4	9	8	7	92

Volunteering																
	Target	Aug 2017	Sep 2017	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	YTD
Number of Volunteers engaged with the Service	-	70	69	72	68	69	74	77	79	84	97	100	108	103	111	603
Percentage of volunteers who left due to a positive outcome/ returned to work	66%	33%	50%	75%	67%	63%	63%	50%	33%	58%	62%	62%	67%	60%	63%	63%
Volunteer Hours	4,250								369	266	426	339	568	568	535	2,503



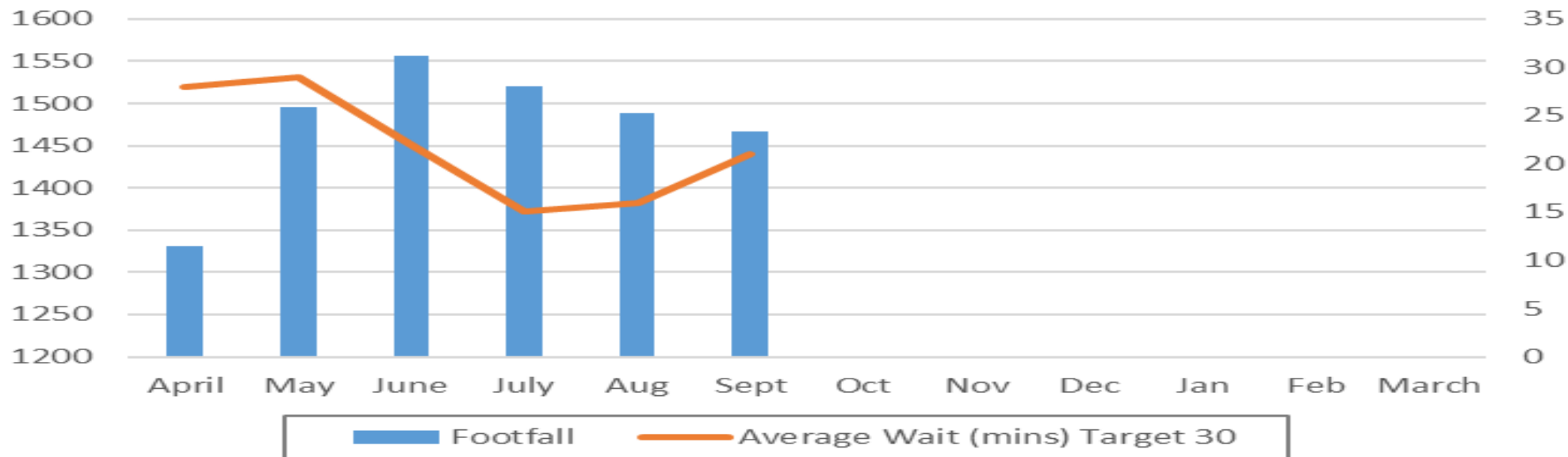
This shows the number of people who have been affected by the benefit cap and are new engagements with the into work advice service. Throughout September 2018 Into Work Advice Service received 21 referrals.

This shows the number of people affected by the benefit cap who were supported to return to work. During September 2018 5 people we supported back into work.

### City Centre Advice Team

Central Library Hub Counter Waiting Times 2018/19												
	Oct	Nov	Dec	Jan	Feb	March	April	May	June	July	August	September
0-15 minutes Target 88%	4,101	4,446	3,276	3,884	3,380	3,014	3,502	3,680	3,728	3,803	3,381	3,439
	84%	94%	92%	86%	86%	83%	85%	90%	90%	87%	84%	86%
16 – 30 minutes	667	236	248	490	371	680	583	382	399	520	551	521
	14%	5%	7%	11%	9%	16%	14%	9%	9%	12%	14%	13%
31 – 45 minutes	104	38	34	134	161	2	40	20	24	41	69	12
	2%	1%	1%	3%	4%	1%	1%	1%	1%	1%	2%	1%
46+ minutes	1	0	0	0	23	0	0	0	0	0	1	0
	0%	0%	0%	0%	1%	0%	0%	0%	0%	0%	0%	0%
<b>Total</b>	<b>4,873</b>	<b>4,720</b>	<b>3,558</b>	<b>4,508</b>	<b>3,935</b>	<b>3,696</b>	<b>4,125</b>	<b>4,082</b>	<b>4,152</b>	<b>4,364</b>	<b>4,002</b>	<b>3,972</b>
<b>YTD</b>	<b>34,054</b>	<b>38,774</b>	<b>42,332</b>	<b>46,840</b>	<b>50,775</b>	<b>54,471</b>	<b>4,125</b>	<b>8,207</b>	<b>12,359</b>	<b>16,723</b>	<b>20,725</b>	<b>24,697</b>
<b>17/18 Comparison</b>	<b>40,729</b>	<b>47,102</b>	<b>52,454</b>	<b>58,043</b>	<b>63,345</b>	<b>68,998</b>	<b>4,782</b>	<b>9,917</b>	<b>15,004</b>	<b>20,034</b>	<b>24,433</b>	<b>29,181</b>

### Money Advice Team



**Money Advice Team**

Money Advice had a month showcasing what they can offer. They attended the Jobs fair at St David's Hall. This was an extremely popular event where over 1000 people attended. We were able to pass on information and budgeting tips en masse!

The Money Advice team also attended the Tenants Participation Conference at City Hall. This attendance was especially important as they were able to network with organisations which they may be able to use to assist and improve the already high quality service provided.

**Into Work advice**

Into Work Advice Service partnered with Job Centre Plus in September to host the annual Cardiff Job Fair in St. David's Hall. The event was attended by over 1,900 job seekers and over 60 employers and providers.

**Volunteering**

During September the Volunteering team attended the Flying Start Celebration Event in St David's Hall, to promote our opportunities. The new Volunteer Mentor started his role in the Butetown Youth Pavilion and has already recruited volunteers for the hub

**Council Enquiries Team**

Customers are now required to apply online for Primary and Secondary school, they are being supported with this digital change by the team.

The teams Corporate Apprentice, has found permanent employment in the Hubs, which shows the how these routes can give real alternative. Swaps with Outreach staff have continued as we carry on upskilling all staff.

City Centre Money Advice Team Figures 2018/19														Housing & Communities
	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	YTD
Amount Saved (£)	52,116	43,134	55,157	52,137	37,281	32,600	51,067	20,414	22,443	22,633	31,926	26,958	28,438	152,812
Weekly Benefit	1,370,000	1,107,894	1,368,837	1,379,744	1,395,251	993,037	974,830	548,953	939,189	961,448	697,355	604,185	865,381	4,616,491
Universal Credit	19	4	8	11	8	79	57	8	0	10	134	156	144	452
Benefit Cap customers applied / refused	157/	92/	104/	70/	82/	70/	92/	49/12	46/8	51/20	48/8	48/5	50/5	292/58
Advice Line calls received	-	-	-	-	-	-	-	53	136	222	378	431	594	1814
Advice line	-	-	-	-	-	-	-	100%	94%	90%	94%	91%	76%	97%

Outreach Money Advice Team Figures 2018/19													
	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	
Footfall	367	445	493	454	427	427							
Amount Saved (£)	9,571	17,829	23,746	20,140	23,141	21,147							
Weekly Benefit Claimed (£)	308,985	438,730	492,646	497,984	602,121	386,600							
Universal Credit Assistance - PBS	89	90	165	75	113	115							

Money Advice Team TOTAL Figures 2018/19													
	Target	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Total Footfall	10,000	1,331	1,496	1,557	1,520	1,488	1,467						
Total Amount Saved (£)	£500,000	29,985	40,272	46,379	52,066	50,099	49,585						
Total Weekly Benefit	£16M	857,938	1,377,919	1,454,094	1,195,319	1,206,306	1,251,991						
Total Universal Credit Assistance - PBS	n/a	97	90	175	209	269	259						

### Responsive Repairs

Appointments														
	Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Made		8,884	9,319	8,825	8,637	8,365	7,696							51,726
Kept (%)	95%	89.62%	89.76%	88.98%	90.12%	89.73%	90.33%							90%
No Access Given (%)	<15%	14.91%	15.25%	14.90%	16.04%	15.56%	15.85%							15.4%
First Time Fixes														
Emergency	90%	93.53%	92.45%	92.32%	89.39%	90.40%	90.48%							91%
Urgent	70%	70.31%	70.45%	69.89%	70.24%	70.57%	68.75%							70%
Routine	60%	50.95%	54.58%	50.34%	52.30%	50.35%	52.17%							52%

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		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Total number of Emergency jobs completed in this month regardless of when raised	RR		928	805	590	633	781	658							4,395
	Number completed late		9	17	14	8	22	14							84
	R&M		8	7	3	8	3	0							29
	Number completed late		0	1	0	1	0	0							2
	Wates		3	6	3	6	7	4							29
	Number completed late		0	0	0	0	1	0							1
	LCB		6	10	15	9	16	10							66
	Number completed late		0	0	0	2	1	1							4



		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
The percentage of Emergency repairs completed within the target time of 24 hours in this month regardless of when raised	RR	95%	99.03%	97.89%	97.62%	98.74%	97.18%	97.87%							98%
	% completed late		0.97%	2.11%	2.38%	1.26%	2.82%	2.13%							2%
	R&M		100%	85.71%	100%	87.50%	100%	0%							95%
	% completed late		0%	14.29%	0%	12.50%	0%	0%							13%
	Wates		100%	100%	100%	100%	85.71%	100%							98%
	% completed late		0%	0%	0%	0%	14.29%	0%							14%
	LCB		100%	100%	100%	77.78%	93.75%	90%							94%
	% completed late		0%	0%	0%	22.22%	6.25%	10%							13%

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		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Total number of Urgent jobs completed in this month regardless of when raised	RR		1,112	1,081	1,015	1,014	1,030	1,042							6,294
	Number completed late		92	94	116	124	164	206							796
	R&M		22	44	37	24	29	30							186
	Number completed late		7	14	11	10	9	20							71
	Wates		50	54	58	47	65	47							321
	Number completed late		5	7	10	6	16	12							56
	LCB		54	93	87	59	70	108							471
	Number completed late		7	9	5	2	9	30							62

		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD	
The percentage of Urgent repairs completed within the target time of 5 working days in this month regardless of when raised	RR	90%	91.73%	91.30%	88.57%	87.77%	84.08%	80.23%							87%	
	Percentage completed late		8.27%	8.70%	11.43%	12.23%	15.92%	19.77%								13%
	R&M		68.18%	68.18%	70.27%	58.33%	68.97%	33.33%								61%
	Percentage completed late		31.82%	31.82%	29.73%	41.67%	31.03%	66.67%								39%
	Wates		90%	87.04%	81.48%	87.23%	75.38%	74.47%								83%
	Percentage completed late		10%	12.96%	18.52%	12.77%	24.62%	25.53%								17%
	LCB		87.04%	90.32%	94.25%	96.61%	87.14%	72.22%								88%
	Percentage completed late		12.96%	9.68%	5.75%	3.39%	12.86%	27.78%								12%

Page 154		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD	
The total number of non-urgent responsive repairs completed in this month regardless of when raised	RR		2,584	2,538	2,229	2,126	2,227	1,926							13,630	
	Number completed Late		110	69	90	167	122	164								722
	R&M		36	21	21	35	21	3								137
	Number completed late		2	7	2	10	15	3								39
	Wates		24	14	53	44	31	49								215
	Number completed late		4	5	7	16	6	23								61
	LCB		20	55	73	43	41	138								370
	Number completed late		0	2	3	1	2	32								40

		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD	
The percentage of non-urgent responsive repairs completed in target time of 25 days in this month regardless of when raised	RR	90%	95.74%	97.28%	95.96 %	92.14 %	94.52 %	91.48%							95%	
	Percentage completed late		4.26%	2.72%	4.04%	7.86%	5.48%	8.52%								5%
	R&M		94.44%	66.67%	90.48 %	71.43 %	28.57 %	0%								70%
	Percentage completed late		5.56%	33.33%	9.52%	28.57 %	71.43 %	100%								41%
	Wates		83.33%	64.29%	92.86 %	63.64 %	80.65 %	53.06%								73%
	Percentage completed late		16.67%	35.71%	7.14%	36.36 %	19.35 %	46.94%								27%
	LCB		100%	96.36%	95.89 %	97.67 %	95.12 %	76.81%								94%
	Percentage completed late		0%	3.64%	4.11%	2.33%	4.88%	23.19%								8%
Percentage of responsive work completed by internal workforce (excluding gas servicing)	RR	90%	94.89 %	93.57 %	91.63 %	93.21 %	93.45 %	90.31%							-	
The percentage of planned gas servicing carried out during the month. (Cumulative)	Progressive Target		8.33 %	16.66 %	24.99 %	33.32 %	41.66 %	49.99%							49.99%	
	RR		11.33 %	25.08 %	35.62 %	46.14 %	56.22 %	63.64%							63.64%	
Average Days to Complete Responsive Repairs ( Excludes Servicing, Planned Works)	Total Days							71,212							71,212	
	Orders Completed							3,894							3,894	
	Average Duration							18.29							18.29	

Inspections														Housing & Communities	
		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Post Inspections (Monthly)	Responsive (Internal)	85%	94.17%	99.99%	97.29%	100%	97.74%	99.60%							98%
	R&M	85%	88.75%	100%	92.00%	92.50%	95.00%	60.00%							88%
	Wates	85%	96.00%	96.66%	90%	91.25%	92.00%	98.18%							94%
	LCB	85%	97.27%	95.00%	100%	95.50%	100%	97.86%							98%
	Ian Williams	85%	-	-	-	-	-	-							-
Site Inspections (Monthly)	Responsive (Internal)	85%	99.96%	99.95%	100%	99.80%	100%	99.91%							100%
	R&M	85%	100%	100%	92.50%	100%	95.83%	n/a							98%
	Wates	85%	100%	100%	100%	96.07%	100%	100%							99%
	LCB	85%	100%	100%	100%	100%	100%	100%							100%
Post Inspection Volumes (Monthly)	Responsive (Internal)		24	57	48	47	53	25							254
	R&M		8	2	5	8	12	5							40
	Wates		5	3	5	8	5	11							37
	LCB		11	10	4	20	11	14							70
	Ian Williams		-	0	0	64	61	0							125
Site Inspections Volumes (Monthly)	Responsive (Internal)		60	53	48	1	6	54							341
	R&M		1	3	2	7	6	0							13
	Wates		4	5	3	5	4	1							26
	LCB		2	0	2	4	2	4							17
	Fire Safety		-	-	5	4	2	0							11
Operative Review Monthly	Responsive		78	69	68	101	88	74						478	

Customer Satisfaction														
		Target	Apr 2018	May 2018	June 2018	July 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019
Complaints received in the month	RR - Complaints received in Month		12	12	8	12	-	-						
	RR - Complaints Upheld	<5%	33.33%	33.30%	25%	50%	-	-						
	RR - Overdue Complaints		0	0	2	0	-	-						
	R&M - Complaints received in Month		0	0	1	0	-	-						
	R&M - Complaints Upheld	<5%	0	0	100%	0	-	-						
	R&M - Overdue Complaints		0	0	0	0	-	-						
	Wates - Complaints in Month		1	1	0	0	-	-						
	Wates - Complaints Upheld	<5%	100%	100%	0%	0	-	-						
	Wates - Overdue Complaints		0	0	0	0	-	-						
	LCB - Complaints received in Month		0	0	1	0	-	-						
	LCB – Complaints Upheld	<5%	0%	0%	0%	0	-	-						
	LCB – Overdue Complaints		0	0	0	0	-	-						
Overall Customer Satisfaction	RRU	85%	100%	96%	96%	-	100%	91%						
	R&M	85%	-	-	-	-	-	-						
	Wates	85%	-	-	-	-	100%	100%						
	LCB	85%	-	-	-	-	90%	100%						

Calls Received by RR																
		Target	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Apr 2019	YTD
Calls to RR Input Team	Offered		1,616	1,716	1,571	1,624	1,566	1,744								9,837
	Answered		1,593	1,686	1,555	1,599	1,550	1,727								9,710
	Abandoned		23	30	16	25	16	17								127
	Answer Rate %	95%	98.58 %	98.25 %	98.98 %	98.46 %	98.98 %	99.03 %								99%
Calls to RR Scheduling Team	Offered		4,270	4,529	4,340	4,388	4,302	4,060								25,889
	Answered		3,984	4,239	4,028	4,042	3,963	3,823								24,079
	Abandoned		286	290	312	346	339	237								1,810
	Answer Rate %	95%	93.30%	93.60%	92.81%	92.11%	92.12 %	94.16 %								93%

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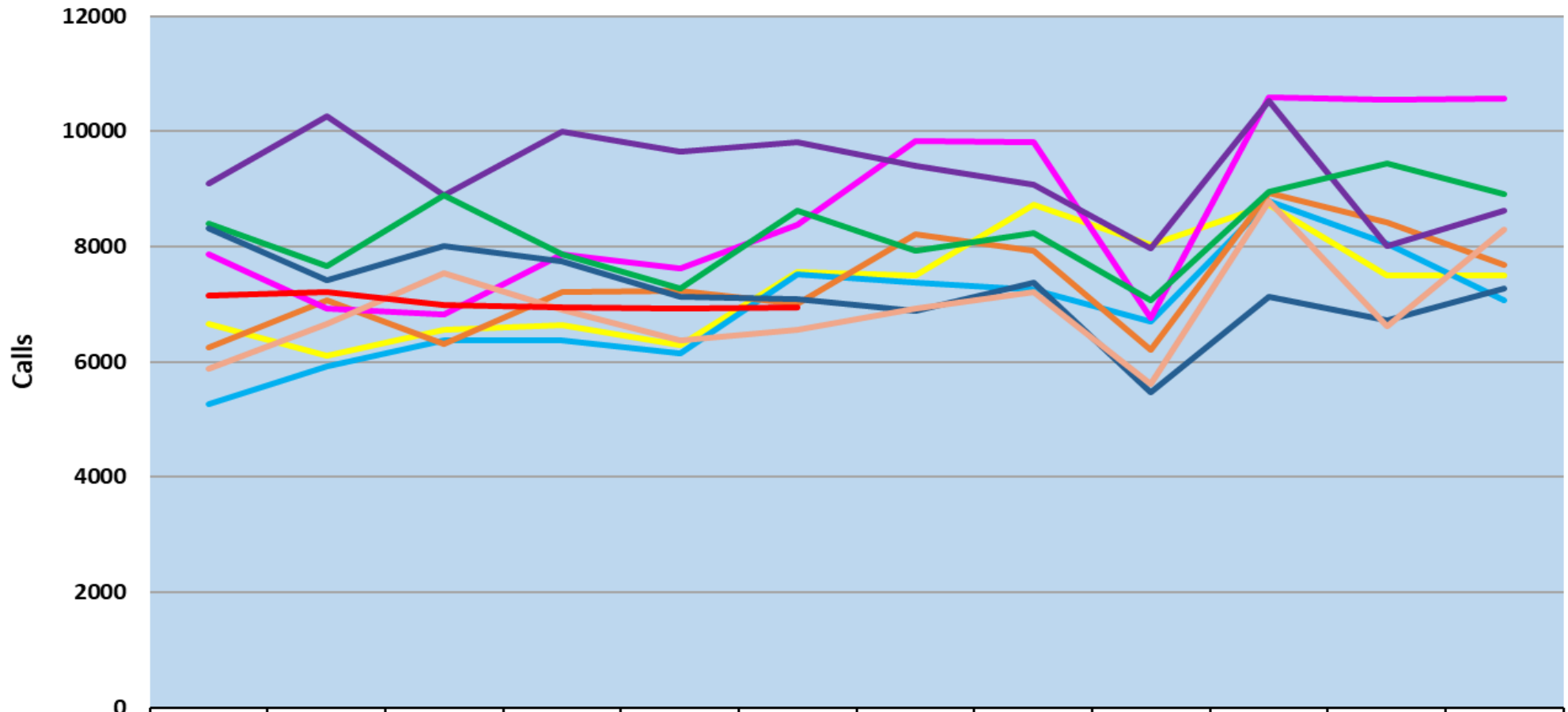
Old Framework Payments- RRU, BIU and Voids	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Number of Applications Received	20	34	48	6	3	0							111
Number of Applications processed	7	32	25	3	3	0							70

New Framework Payments- RRU only	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Number of Applications Received	61	137	114	115	126	150							703
Total Value	£139,394	£274,543	£210,052	£263,731	£232,640	£223,232							£1,343,594.80
Number of Applications Processed	61	137	114	115	126	150							703
Number Overdue	0	0	0	0	0	0							0

Notifications		Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	YTD
Responsive Notifications raised in month	Callback	315	331	313	339	319	322							1,939
	Defect	87	74	75	76	76	81							469
	Overdue	33	22	23	39	64	35							216
Business Improvement Unit Notifications raised in month	Callback	50	52	39	38	45	45							269
	Defect	13	5	3	10	18	11							60
	Overdue	0	0	0	1	0	0							1
Voids Notifications raised in month	Callback	8	8	3	4	8	1							32
	Defect	1	1	0	1	1	3							7
	Overdue	0	0	0	0	0	0							0

Repair Reporting Line													
	Sep -17	Oct -17	Nov-17	Dec-17	Jan - 18	Feb-18	Mar-18	Apr - 18	May -18	Jun-18	Jul - 18	Aug-18	Sep-18
Total No. of Calls Offered to C2C	6,553	6,925	7,207	5,612	8,789	6,615	8,292	7,153	7,201	6,991	6,949	6,928	6,940
Total No. of Calls Handled by C2C	6,183	6,575	6,754	5,230	7,400	6,010	7,178	6,584	6,609	6,176	6,397	6,315	6,442
Abandonment Rate	5.65%	5.05%	6.29%	6.81%	15.80%	9.15%	13.43%	7.95%	8.22%	11.66%	7.94%	8.85%	7.18%
Average time to answer (seconds)	71	51	70	72	168	111	143	80	89	127	89	93	77
Total No. of Emails	1,584	1,608	1,818	1,229	1,986	1,470	1,768	1,647	1,733	2,007	1,340	1,055	1,021
Total No of Cases/Tickets	9,152	9,283	9,702	7,314	10,578	8,785	10,114	9,454	9,346	8,813	9,032	9,067	9,246
Initial Request for Service	5,260	5,162	5,625	4,244	6,396	5,187	5,789	5,433	5,110	4,733	4,860	4,843	4,769
Follow ups	449	474	465	315	503	418	430	508	490	452	508	530	490
Action for Responsive Repairs	236	217	232	223	269	214	237	243	269	242	252	281	280
Info	3,207	3,430	3,380	2,532	3,410	2,966	3,658	3,270	3,477	3,386	3,412	3,413	3,707
Within Time Calls	0	0	0	0	0	0	0	0	0	0	0	0	0
Cancellation Request	0	0	0	0	0	0	0	0	0	0	0	0	0
% Initial Request for Service	55.12%	53.25%	55.25%	52.93%	57.91%	56.23%	52.19%	54.39%	52.30%	50.96%	50.97%	50.56%	49.00%
% Follow up	4.91%	5.11%	4.79%	4.31%	4.76%	4.76%	4.25%	5.37%	5.24%	5.13%	5.62%	5.85%	5.30%

### Repairs Reporting Line



	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
10 / 11	6651	6098	6554	6645	6286	7567	7493	8718	8030	8730	7502	7506
11 / 12	5274	5929	6362	6362	6154	7527	7372	7258	6707	8780	8043	7070
12 / 13	6243	7066	6299	7214	7231	7014	8217	7922	6200	8922	8421	7677
13 / 14	7866	6925	6817	7858	7618	8379	9835	9802	6761	10586	10555	10561
14 / 15	9086	10254	8893	9999	9645	9820	9396	9081	7977	10530	8004	8614
15 / 16	8390	7656	8886	7867	7275	8622	7926	8231	7072	8943	9434	8912
16 / 17	8306	7406	8001	7740	7136	7088	6874	7377	5460	7130	6719	7268
17 / 18	5877	6667	7530	6897	6374	6553	6925	7207	5612	8789	6615	8292
18 / 19	7153	7201	6991	6949	6928	6940						70



## Neighbourhood Regeneration: September, 2018

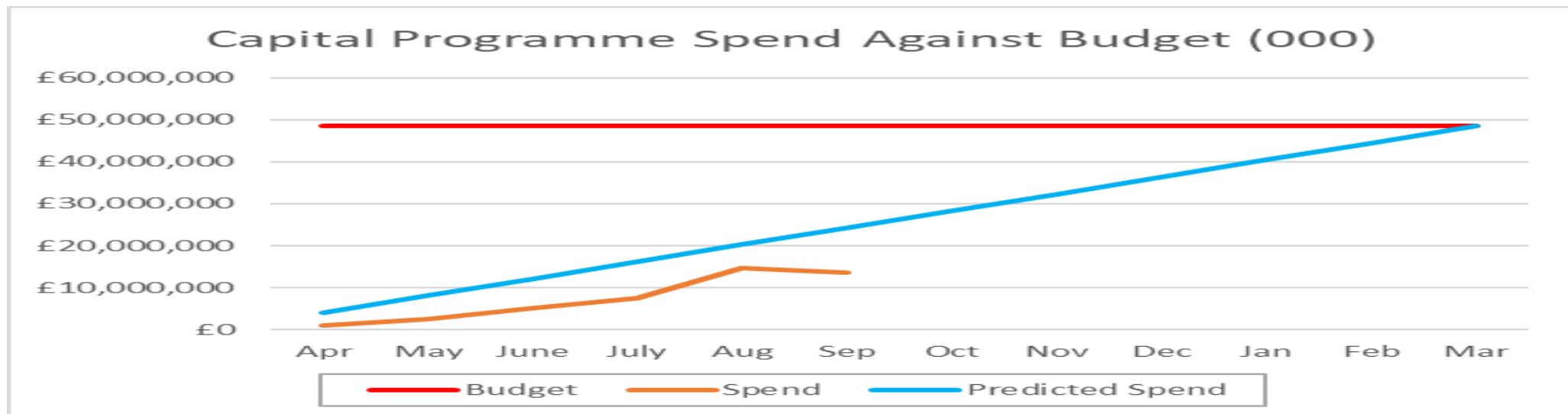
	Target	April 2018	May 2018	June 2018	July 2018	Aug 2018	Sept 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	March 2019	YTD
Number of Alleys/Gullies Gated, Closed or Improved	10	-	2	4	2	3	1							12
Number of Alley Gating/ Gulley Enquiries	500	43	78	103	89	70	48							431
Number of Regeneration Projects Completed	12	-	-	-	3	1	1							5
Number of Consultation Events *	12	1	-	-	2	1	2							6
Average Satisfaction with Completed Schemes **	75%	-	83%	-	82%	100%	-							88%
* Consultation Events : Maelfa Flats, Belmont Wald Residents, Clare Road Traders, Alley-gating, Maelfa Traders, NRS														
** Trowbridge Mawr, Coed Y Gores Hodges Square Feedback Survey														

## Compliance &amp; Business Planning

Schemes	Budget @ September 2018	Spend to Date	Outturn
Housing Development	£88,000	£46,000	£107,000
Garages & Asset Improvements	£1,660,000	£717,000	£1,728,000
Estate Regeneration	£1,895,000	£245,000	£1,800,000
Gullies & External Improvements	£150,000	£37,000	£150,000
Energy Efficiency	£250,000	£0	£0
Planned Elemental Improvements (inc central heating)	£14,486,000	£3,004,000	£12,445,000
Hubs	£350,000	£0	£350,000
New Build & Housing Partnering	£25,910,000	£8,434,000	£23,723,000
Disabled Facility Grants	£2,300,000	£1,087,000	£2,300,000
<b>Total Budget</b>	<b>£47,089,000</b>	<b>£13,570,000</b>	<b>£42,603,000</b>

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Funded by:	Budget @ Month 6	Spend to Date	Predicted Spend
MRA	£9,532,000	£5,134,000	£9,532,000
Direct Revenue Financing/ Revenue Reserve	£8,775,000	£0	£8,775,000
Capital/Partnering & Other Receipts	£3,935,000	£3,935,000	£3,935,000
Prudential Borrowing	£24,847,000	£4,501,000	£20,361,000
<b>Total Budget</b>	<b>£47,089,000</b>	<b>£13,570,000</b>	<b>£42,603,000</b>



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	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
<b>Current Stock 13,474</b>												
<b>Council Stock SAP Rating</b>	70.66	70.68	70.62	70.70	70.58	70.61	70.67	70.72	70.75	70.73	70.79	70.75
<b>Properties with a Valid EPC</b>	61%	62%	62%	63%	64%	64%	65%	65%	66%	67%	68%	68%
	8,221	8,323	8367	8460	8548	8606	8667	8739	8865	8936	9071	9150
<b>Properties Passing WHQS &gt;64</b>	88%	89%	89%	89%	89%	90%	90%	91%	91%	92%	92%	92%
	7,258	7,370	7433	7540	7648	7727	7826	7928	8091	8195	8330	8413
<b>Properties Failing WHQS &lt;65</b>	12%	11%	11%	11%	11%	10%	10%	9%	9%	8%	8%	8%
	963	953	934	920	900	879	841	811	774	741	741	737
<b>Breakdown of those failing</b>												
<b>60 – 64</b>	592	587	574	566	556	546	546	548	521	491	490	492
<b>50 – 59</b>	312	307	303	298	289	285	260	233	220	218	221	216
<b>40 – 49</b>	47	47	46	45	44	37	25	24	27	26	24	24
<b>30 – 39</b>	8	8	8	8	8	8	7	5	5	5	5	4
<b>&lt;30</b>	4	4	3	3	3	3	3	1	1	1	1	1

General Fund Schemes			
Schemes	Budget September 2018	Spend to date	Outturn
Community Investment Schemes	£327,000	£0	£200,000
Alley Gating	£65,000	£4,000	£50,000
Day Centres	£1,300,000	£79,000	£1,200,000
Citizen Hubs	£504,000	£699,000	£950,000
Adaptation Service (DFS)	£4,600,000	£1,669,000	£4,410,000
Community Shopping Centres	£480,000	£29,000	£440,000
Maelfa Regeneration	£600,000	£70,000	£600,000
Neighbourhood Renewal Schemes	£91,000	£201,000	£201,000
Multi Agency Hub	£1,150,000	£0	£500,000
<b>Total Budget</b>	<b>£9,117,000</b>	<b>£2,751,000</b>	<b>£8,551,000</b>

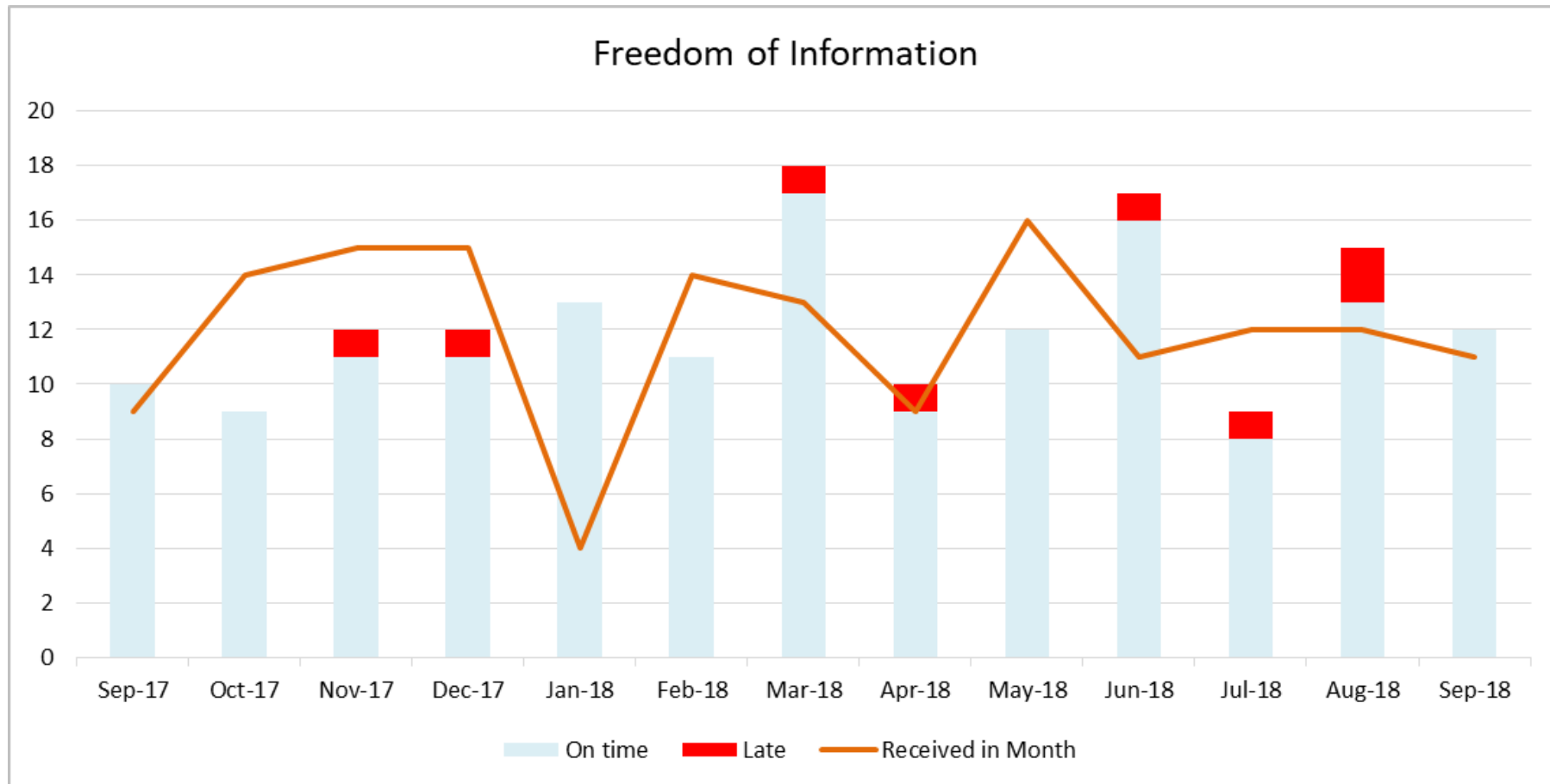
Building Improvement Unit - September 2018			
Planned Elemental	Total Budget	Spend to Date	Outturn
Roofs	£1,500,000	£50,000	£1,500,000
Front Door Upgrades to Flats	£1,728,000	£567,000	£1,400,000
Lift Upgrades and Renewals	£250,000	£0	£250,000
Window and Door Upgrades	£1,000,000	£14,000	£50,000
Rewiring & Emergency Lighting	£500,000	£248,000	£500,000
Door Entry System	£500,000	£0	£100,000
Kitchens and Bathrooms - Planned	£500,000	£89,000	£200,000
Structural Works - Underpinning	£250,000	£51,000	£125,000
<b>Total</b>	<b>£6,228,000</b>	<b>£1,019,000</b>	<b>£4,125,000</b>

Freedom of Information Housing & Communities

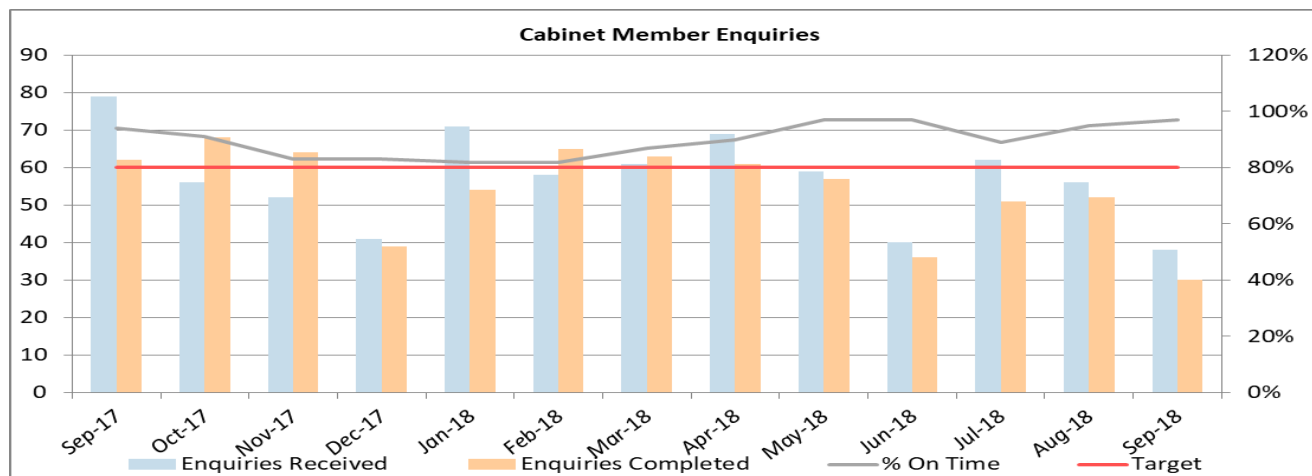
Freedom of Information		September	YTD
FOI Received		11	71
The Number Completed	Completed	12	75
	On Time	12	70
	Overdue	0	5

11 requests were received and included waiting lists and homelessness queries.

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### Complaints & Enquiries Housing & Communities



Housing & Communities received **40** complaints during September. This is a decrease compared to September 2017 (53), and from last month (44).

Responsive Repairs received the most and accounted for 15 of the 40 complaints. Landlord Services received the second highest with 12 complaints, followed by Assessment and Support (7).

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Complaints Breakdown – September 2018									
	Complaints Received September 2017	Complaints Received September 2018	Category of Complaints Received					Open within time (as of 05.09)	Late
			Delay in providing Service	Dissatisfaction of Policy	Poor Quality of Service	Staff	Other		
Responsive Repairs Unit	14	15	5	1	7	1	1	5	0
Assessment & Support	9	7	1	0	3	2	1	3	1
Face to Face Services	2	5	1	0	1	2	1	1	1
Landlord Services	23	12	0	3	3	0	6	5	0
Preventative Services	1	0	0	0	0	0	0	0	0
Service Development & Improvement	0	0	0	0	0	0	0	0	0
Regeneration Development & Enablement	4	0	0	0	0	0	0	0	0
Libraries	-	1	0	0	0	0	1	0	0
Adult Community Learning	-	0	0	0	0	0	0	0	0
<b>Total</b>	<b>53</b>	<b>40</b>	<b>7</b>	<b>4</b>	<b>14</b>	<b>5</b>	<b>10</b>	<b>14</b>	<b>2</b>

	Compliments Received September 2018 (Awaiting further from Housing Complaints Team)
<b>Responsive Repairs Unit</b>	<b>5</b>
<b>Assessment &amp; Support</b>	-
<b>Face to Face Services</b>	-
<b>Landlord Services</b>	<b>3</b>
<b>Preventative Services</b>	-
<b>Service Development &amp; Improvement</b>	-
<b>Regeneration Development &amp; Enablement</b>	-
<b>Systems &amp; Subsidy</b>	-
<b>Total</b>	<b>8</b>

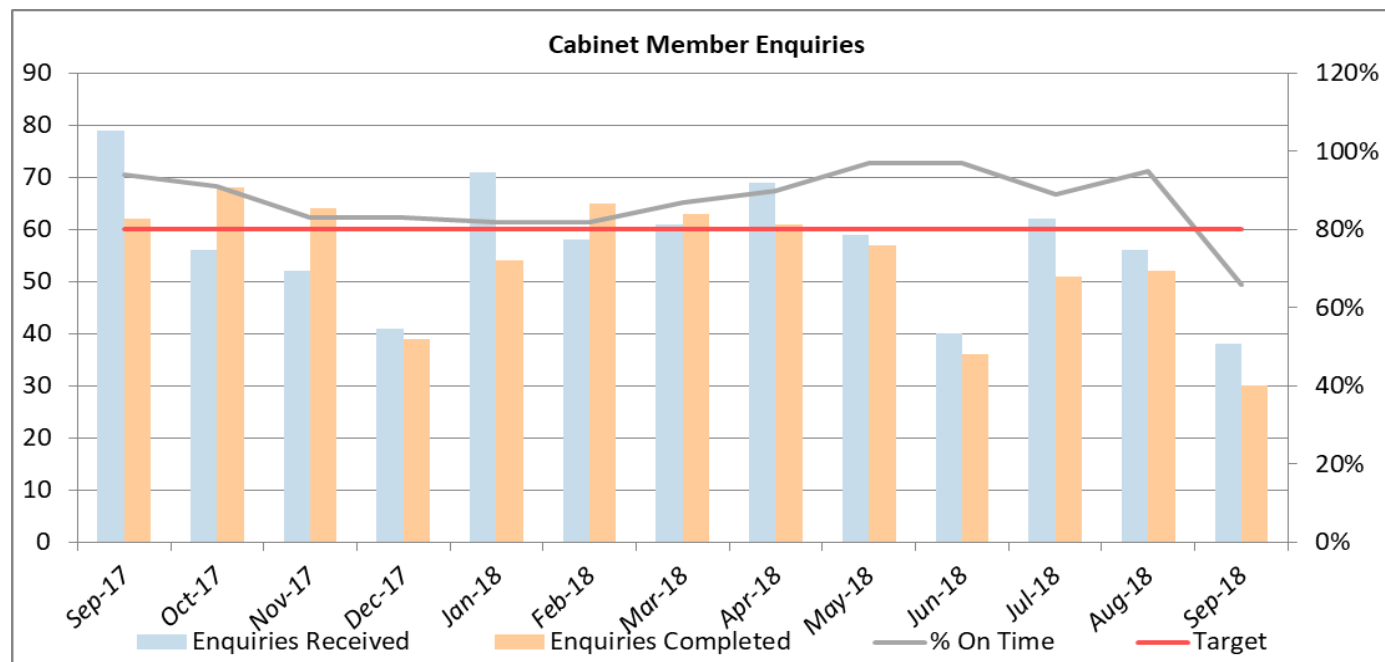
I would like to compliment the following ppl for their hard work and dedication and professionalism starting off with Terence Bennett for the time effort and moving mountains he did. such a lovely man with great ambition I'm overwhelmed for what he did for me you need more like him, absolutely amazing guy who has seen me threw my tears and tantrums and finally found a tm that actually listened and was always there with advice. Steve James who was there at the beginning. Who helped Me threw a bad ordeal with r@m .Mike Highgate and Neil Harris for all their hard work and graft with the plastering and floor laying .The two Craig's and Paul the decorators who did an amazing job and worked hard with the finishing touches very clean ppl. Christian Gee for all the carpentry and multi skill he did .I now finally have a house to be proud of. If it wasn't for these ppl I would be lost, they was more like family towards the end. I really can't thank them enough for everything they did and more ..U touched my heart with your dedication xxx

A customer called to give his verbal compliment for the council cleaning graffiti in his area on the opposite side of the Taff near the Holiday Inn. The customer wanted to give the council the best compliment he could for this.

Tenant calling to sat that the operative who attended her property today 07/09/18 was a really nice young fellow very kind and the nicest person she has come across and advised that she would have loved to have a son like him. Please can this be passed on.

A customer phoned to compliment Olivia for all her hard work in resolving her ASB issues and said things are so much better now.

### Cabinet Member Enquiries



Housing & Communities received 38 enquiries during September.

16 of the enquiries were for Landlord Services with the majority (8) being for the Social Lettings Unit. The remaining were for ASB, Finance, Tenancy and Voids.

Assessment & Support received 12 – comprising of Housing Options (10) and Benefits (2).

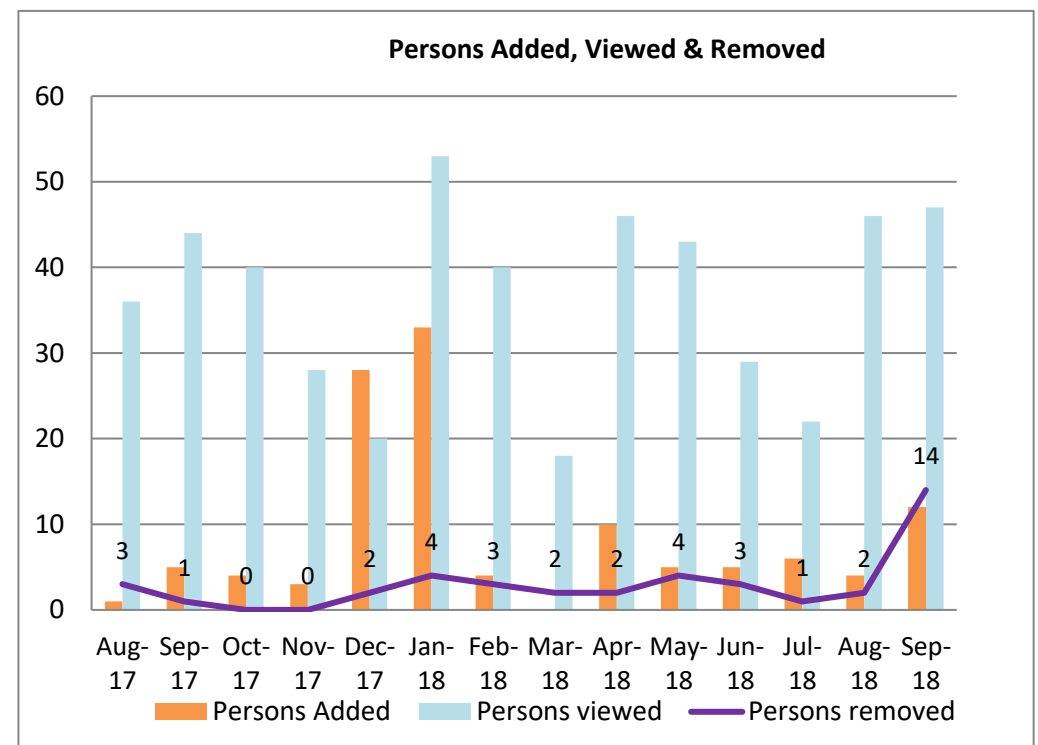
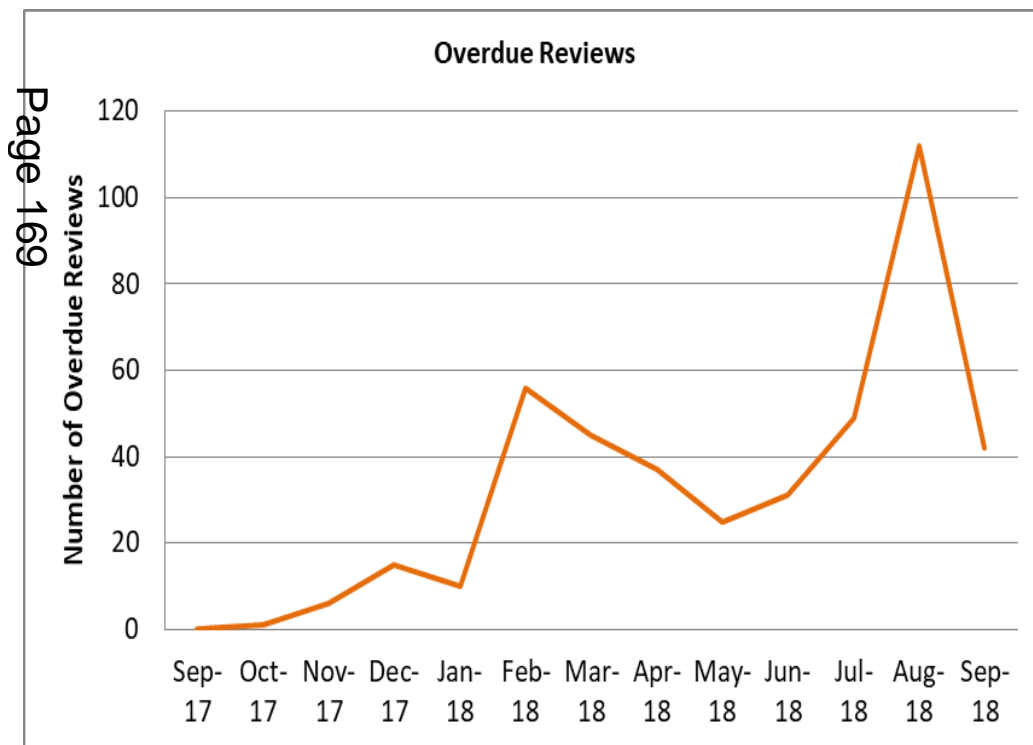
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	Enquiries Received September 2017	Enquiries Received September 2018	Outstanding Within Time (as of 05.09.18)	Late
Responsive Repairs Unit	6	5	0	2
Assessment & Support	19	12	3	4
Face to Face Services	0	0	0	0
Landlord Services	47	16	4	1
Preventative Services	0	1	0	0
Service Development & Improvement	0	0	0	0
Regeneration Development and Enablement	6	1	1	0
Housing Miscellaneous	1	3	1	1
Libraries	-	0	0	0
Adult Community Learning	-	0	0	0
<b>Total</b>	<b>79</b>	<b>38</b>	<b>9</b>	<b>8</b>



PACD – Persons to be Aware of Corporate Database

	Sep 2017	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
<b>Overdue Reviews</b>	0	1	6	15	10	56	45	37	25	31	49	112	42
<b>Authorisations Accepted</b>	8	5	0	22	69	57	15	44	17	15	21	2	104
<b>Authorisations Pending</b>	2	5	12	30	43	22	33	0	8	14	2	43	12
<b>Authorisations Rejected</b>	0	3	0	0	0	0	0	0	0	0	0	0	0
<b>Officers logged on</b>	86	75	80	72	90	80	65	71	63	64	62	75	73



Mae'r dudalen hon yn wag yn fwriadol

Ref	Risk Description	Potential Consequence	Inherent Risk			Residual Risk			Target Risk Rating			Risk Reduction Target Date	Owner		
			Likelihood	Impact	Priority	Likelihood	Impact	Priority	Likelihood	Impact	Priority				
3	<p>2. Welfare Reform</p> <p>That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.</p>	<ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants                             <ul style="list-style-type: none"> <li>Social housing rents become unaffordable to some claimants, in particular those with large families.</li> </ul> </li> <li>Increased homelessness and demand for temporary accommodation                             <ul style="list-style-type: none"> <li>Increased rent arrears, increased evictions</li> </ul> </li> <li>Redeployment / Severance for 140 benefits staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties.</li> <li>Barriers to building additional affordable housing</li> <li>Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients.</li> </ul>	A	2	High - Red	<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit.</li> <li>Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.</li> <li>Timely information is being given to claimants to help them respond to the changes.</li> <li>A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.</li> <li>The Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the reduced Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.</li> <li>Universal Credit full service has commenced in Cardiff. Despite additional resources put in place rent arrears for council tenants have risen significantly since the change was implemented. The council is currently providing face-to-face services on behalf of the DWP including digital inclusion and budgeting advice, however funding for this is being cut from March 2019 and will transfer to CAB.</li> <li>The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform and this is being rolled out across the city in Community Hubs and foodbanks.</li> <li>The Inclusive Growth Board and subgroups are working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> <li>Digital inclusion training and banking support has been successfully implemented and will continue to be monitored.</li> <li>Into Work Services are providing services across the city and helping people get back to work with particular focus on those families affected by the benefit cap.</li> </ul>	B	2	High - Red	<ul style="list-style-type: none"> <li>Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. This will be monitored over the coming months.</li> <li>Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>DHP spend is being monitored carefully. Expenditure for 18/19 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness.</li> <li>Services for private landlords are being further developed to help prevent them withdrawing from the market.</li> </ul>	B	2	High - Red		<p>Sarah McGill (Jane Thomas)</p> <p>Councillor Lynda Thorne Housing &amp; Communities</p>
4															

Directorate Risk Register Template

Ref	Risk Description	Potential Consequence	Inherent Risk			Current Controls	Residual Risk			Proposed Management Actions	Target Risk Rating			Risk Reduction Target Date	Owner
			Likelihood	Impact	Priority		Likelihood	Impact	Priority		Likelihood	Impact	Priority		
1	<p><b>Fire Safety Arrangements in Council Owned Buildings</b></p> <p>In response to the major incident at Grenfell Tower in London the Council is working with Welsh Government and other regulators to ensure that any updated guidance is taken into account in considering any impact on relevant buildings across the whole of the Council's estate.</p> <p>The Council has undertaken additional testing, beyond the initial review of ACM has identified that 6 blocks fail the current standards. Whilst the 50 mm of insulation in the cladding is fully fire retardant, the veneered, fibrous-hardwood, rainscreen panels fails today's combustibility standards.</p>	<p>Reputational / Legal / Financial / Health &amp; Safety / Stakeholders</p> <p>Fatalities or serious injuries</p> <p>HSE interventions and consequential actions including fines and prosecution;</p> <p>Significant additional expenditure requiring realignment of Corporate budgets;</p> <ul style="list-style-type: none"> <li>Temporary relocation of occupants</li> <li>Temporary loss of operational service</li> <li>Invalidation of insurance policy</li> <li>Serious adverse impact on reputation</li> <li>Damage to fabric of building or other equipment.</li> </ul>	B	2	High - Red	<p>Fire Safety Arrangements for Council Owned High Rise Residential Blocks:</p> <p>Immediate actions in place following the results of the additional testing include</p> <ul style="list-style-type: none"> <li>Round-the-clock fire warden patrols and increased CCTV monitoring. Additional fire safety wardens have been recruited to strengthen the onsite 24 hour presence.</li> <li>All flats have smoke detectors fitted and these are checked annually as are gas appliances.</li> <li>Sprinkler installation designs have not been completed for all high rise blocks and issues to contractors for pricing and installation timeframes.</li> <li>A letter was hand delivered to all residents on Monday 19th March.</li> <li>The C2C line was extended on Monday 19th March to 8pm to answer any immediate concerns.</li> <li>Information sessions for residents in the affected blocks were provided on Tuesday 20th March.</li> <li>It is likely that the cladding on all blocks affected will need to be removed and a small sample has been removed to determine the best way to achieve this.</li> <li>Regular meeting with Fire are taking place and a recommended joint action plan being implement</li> <li>Works orders have been placed with two contractors to remove cladding at Nelson House, Butetown and the three blocks at Lydstep flats, Gabalfa/Llandaff North. Works are anticipated to start at both sites at the end of June 2018.</li> </ul> <p>Fire Safety Arrangements for Operational Buildings Including Schools:</p> <ul style="list-style-type: none"> <li>The school estate and wider operational estate has been checked in line with Welsh Government guidelines.</li> <li>Working together with Welsh Government, the Council has undertaken a separate and specific investigation into non-residential accommodation in the 'operational' estate using the criteria specified by WG. In the light of this review, 5 buildings (including 4 schools) were subject to an initial visual survey of the cladding. The 4 schools have been subject to a further inspection which identified that 3 of the 4 schools have UPVC cladding rather than ACM. The cladding at the 4th school appears to be of aluminium construction. However, similarly the UPVC systems at the 3 schools referred to above, there is solid construction between the classroom and the cladding which would not allow the spread of fire between floors within the building. On the basis that the rooms adjacent to the cladding are fitted with appropriate fire</li> </ul>	C	2	Medium - Red / Amber	<p>Removal of the cladding, informed by the sample work that has been undertaken.</p> <p>Cladding Removal Status</p> <ul style="list-style-type: none"> <li>Nelson house – Cladding removal work has started. Due to complete prior to Christmas</li> <li>Loudoun House – Work not started. Works to commence spring/summer 2019</li> <li>Channel View – Cladding removal work has started due to complete by end of October 2018</li> <li>Lydstep/block 1 – Cladding has been removed</li> <li>Lydstep/block 2 – work has started cladding will be removed by end of October 2018</li> <li>Lydstep/block 3 – Work has started. Cladding will be removed by end of November 2018</li> </ul> <p>Additional precautionary measures for High Rise Residential Blocks:</p> <ul style="list-style-type: none"> <li>currently installing 60 minute fire doors in our high rise blocks (standard good practice is 30 minutes) and awaiting design for retrofitting of sprinklers which will be installed in all our high-rise blocks</li> </ul> <p>Compliance with updated guidance:</p> <ul style="list-style-type: none"> <li>Ensure building design processes and procedures are following by the Authority and updated with any changes nationally and that Planned Preventive Maintenance plans are in place for new build.</li> </ul> <p>Fire Safety Arrangements for Operational Buildings Including Schools:</p> <ul style="list-style-type: none"> <li>Complete review on external cladding of final property of +18 m to determine type and composition, plus its effectiveness and impact upon the fire safety of the property. Completed. Residual risk Low/Green</li> <li>Complete the review of statutory obligations taking into account of any emerging findings from the Grenfell Tower enquiry. Ongoing. Remains on-going. Residual risk remains Medium/Amber</li> </ul>	D	3	Medium - Amber / Green	<p>Nelson House: 0-3 months</p> <p>Loudoun House: 3-6 monthd</p> <p>Channel View 3 - 6 months</p> <p>Lydstep flats (3 blocks 6-12 months</p>	
2															

Directorate Risk Register Template

Ref	Risk Description	Potential Consequence	Inherent Risk			Current Controls	Residual Risk			Proposed Management Actions	Target Risk Rating			Risk Reduction Target Date	Owner
			Likelihood	Impact	Priority		Likelihood	Impact	Priority		Likelihood	Impact	Priority		
1	<p>To provide an effective customer service to clients and customers in a safe and pleasant environment at Hubs and outreach locations.</p> <ul style="list-style-type: none"> <li>-increasing workload/taking on more services</li> <li>-loss of access to buildings</li> <li>-loss of access to Northgate and Comino</li> <li>-loss of key staff</li> <li>-high staff turnover</li> <li>-changes in government legislation</li> <li>-loss/misuse of personal data</li> <li>-violence or abuse to staff</li> <li>-loss of IT</li> <li>-sickness</li> <li>language staff</li> <li>-average waiting times increase above 20 minutes</li> <li>-number of Hub/library customers</li> <li>-Customer satisfaction surveys</li> <li>-violence at work forms</li> <li>-high sickness levels</li> <li>-high community language demand</li> </ul>		A	3	Medium - Red / Amber	<ul style="list-style-type: none"> <li>- customer numbers are monitored daily and waiting times monitored continuously throughout the day</li> <li>- additional resources provided including customer service trainee scheme and temporary staff</li> <li>- warm disaster recovery for iWorld and Comino</li> <li>- high level vetting of benefit staff including CRB checks are in place, procedures for control and correct storage of data have been drafted</li> <li>-audit checks in place to ensure all data is secure</li> <li>- risk assessments in place, CCTV and security guards are employed</li> <li>- snow plan in place to open offices</li> <li>- Health and Safety Assessments carried out regularly &amp; reviewed</li> <li>- procedures for aggressive customers and suicide threats in place</li> <li>- staff counselling available</li> <li>- Violence at work PACD</li> <li>- continually monitoring demand and employ to match need, e.g. language requirements</li> <li>- panic alarms in place</li> <li>- Health and Safety general maintenance fire evacuation log</li> <li>- Introduction of the ARC within Community Hubs, in the process of being rolled out along with locality warden presence when needed.</li> </ul>	C	3	Medium - Amber / Green	<ul style="list-style-type: none"> <li>- introduction of the ARC within community Hubs, in the process of being rolled out along with locality warden presence when needed. Introduction of the ARC within Community Hubs, in the process of being rolled out along with locality warden presence when needed.</li> <li>- adapt and employ as need dictates, new monitoring structure in place. Staff trained on having difficult conversations. FM security used in St Mellons Hub during outbreaks of ASB from Youths</li> </ul>	C	4	Low - Green		Bev King
2	<p>The increase in population leads to an increased demand for services, however staffing and stock levels do not meet these specific quality indicators targets set by Welsh Government and outlined within the sixth framework of the Welsh public library standards. There is an operational risk posed due to low staffing levels and capacity limitations.</p>		C	2	Medium - Red / Amber	<ul style="list-style-type: none"> <li>- flexibility of the workforce is encouraged, and sickness policies are adhered to</li> <li>- Staff and stock levels are monitored regularly</li> <li>- performance is monitored monthly, looking at the best use of funding and prioritising resources.</li> <li>- Community outreach programme delivering learning, literacy and social outcomes to citizens</li> </ul>	C	3	Medium - Amber / Green	<p>Profiles of specific volunteer roles to be reviewed and recruitment to take place via established volunteer channels. Restructure focusing on integration of the Advice &amp; Library teams to take place</p>	C	4	Low - Green		Nicola Pitman
3	<p>Dominons Way which houses the stocks and stacks facility is not fit for purpose and costly to the service. Rental charges are in excess of £100,000 per year, with the addition of £40,000 NNDR and approx. £30,000 in utility bills, almost equal to the operating costs of two branch libraries.</p>		D	2	Medium - Red / Amber	<ul style="list-style-type: none"> <li>Estates management seeking alternative options</li> <li>-Stock management Strategies in development to reduce holdings</li> <li>-Historical Collection Strategies currently under review</li> </ul>	D	2	Medium - Red / Amber	<p>Progress formulation of Library Strategy to include stock management and the historical collections</p> <p>Liaise with Strategic Estates/FM to consider lease dilapidations</p>	E	2	Medium - Amber / Green		Nicola Pitman

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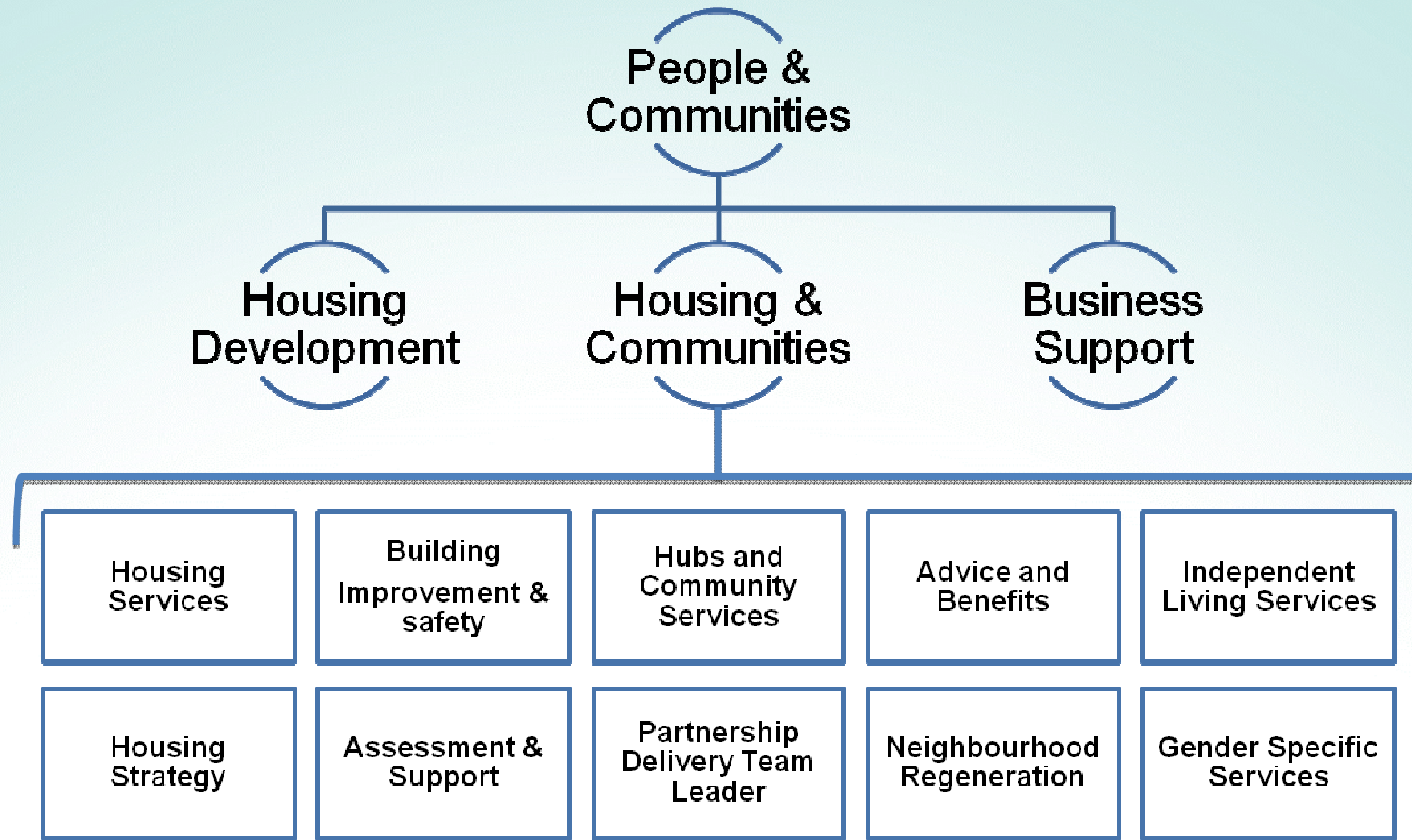
Audit Committee  
People & Communities  
(Housing & Communities)  
13<sup>th</sup> November 2018



Gweithio dros Gaerdydd, gweithio gyda'n gilydd  
Working for Cardiff, working together



# High Level Organisational Chart





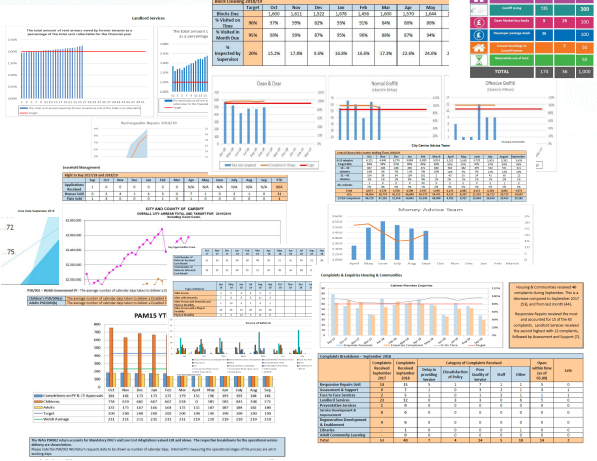
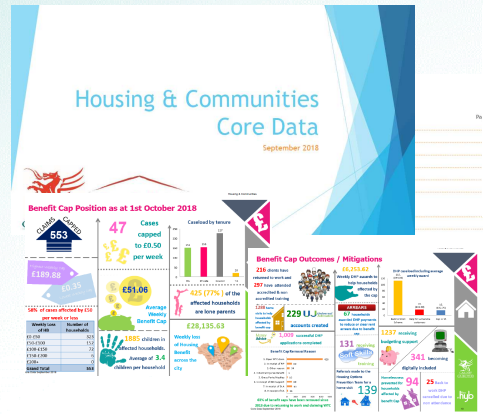
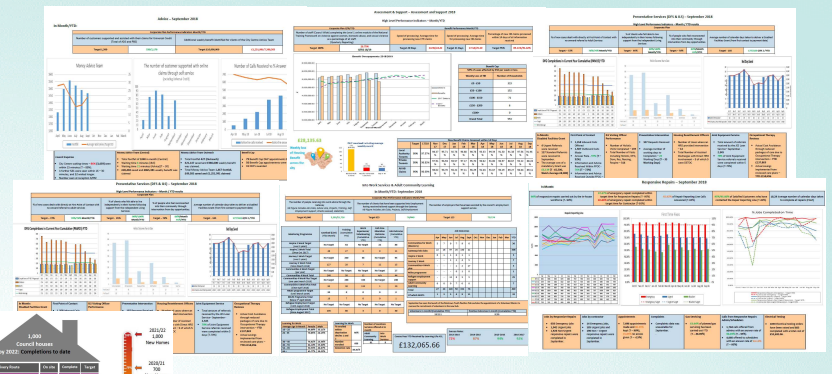
# Business Planning Framework



# Performance Framework – Core Data

There is a strong performance management framework with the Directorate

Each Section has their own A3 highlight sheet that displays key demand information and their key performance indicators



Sitting below this is a comprehensive Core Data Set

These are produced on a monthly basis and this comprehensive approach to performance management acts as the management control mechanism for all the directorate risks



# Management / mitigation of the directorate's risks on the Corporate Risk Register

Both Corporate and Operational Risks are reviewed regularly to keep them live documents

The directorate has ownership of one risk on the **Corporate Risk Register**, Welfare Reform, which continues to be mitigated through a range of proactive services and will need constant monitor and review following the implementation of Universal Credit Full Service.

There is Fire Safety, an **Escalated Risk** which sits with Housing & Communities for Council Housing but also with Economic Development as the Corporate Landlord for Council Premises, for all other Council Buildings.

Each Section have their own **Operational Risk Register** and there are currently 38 risks identified and managed on these lists

Ref	Risk Description	Impact	Current Status	Responsible Director	Priority	Ownership	Owner
1	... (text) ...	...	...	...	...	...	...

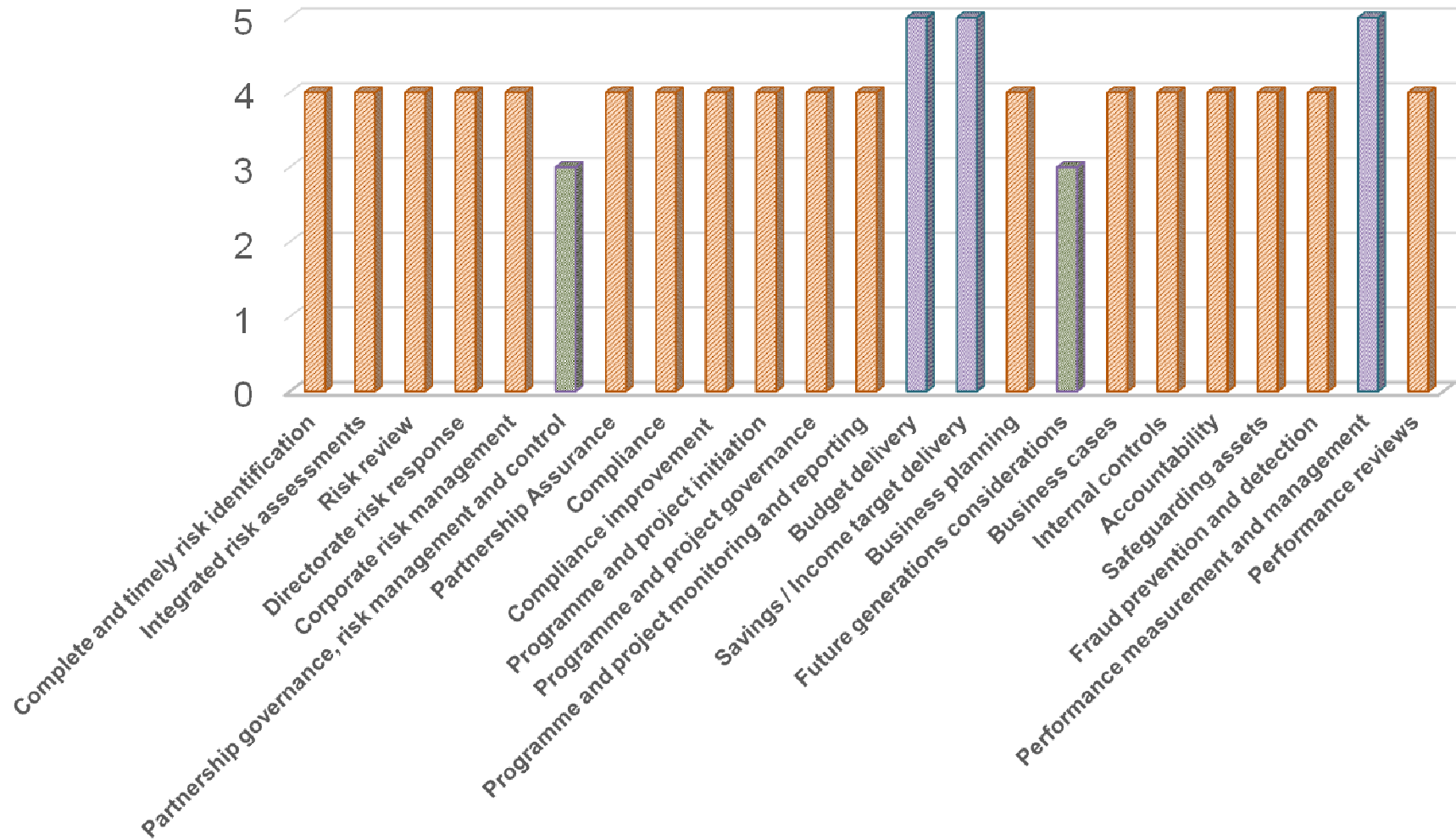
Ref	Risk Description	Impact	Current Status	Responsible Director	Priority	Ownership	Owner
1	... (text) ...	...	...	...	...	...	...

Ref	Risk Description	Impact	Current Status	Responsible Director	Priority	Ownership	Owner
1	... (text) ...	...	...	...	...	...	...
2	... (text) ...	...	...	...	...	...	...
3	... (text) ...	...	...	...	...	...	...



# People and Communities SMAS 2018/19 (Mid Year)

■ 1. Not in Place 
 ■ 2. Limited Application 
 ■ 3. Mixed Application 
 ■ 4. Strong Application 
 ■ 5. Embedded



# Monitoring / implementing recommendations made in Internal Audit reports

Audit	Status	Assurance rating	Number of recommendations
<b>Commissioning and procurement</b>	Final report issued	Effective with opportunity for improvement	5
<b>Effective decision making</b>	Final report issued	Effective	0
<b>Communities First</b>	Final report issued	Effective	2
<b>Governance</b>	Final report issued	Effective	0
<b>Payroll</b>	Final report issued	Effective with opportunity for improvement	12

As at 22<sup>nd</sup> October 2018 of the 19 recommendations 18 have been completed there remains 1 recommendation that are still in process. Working with internal audit this will continue to be monitored through to completion.



Any questions?



**AUDIT COMMITTEE: 13<sup>th</sup> November 2018**

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**UPDATE ON INTERNAL CONTROL ENVIRONMENT****REPORT OF DIRECTOR, GOVERNANCE AND LEGAL SERVICES AND  
MONITORING OFFICER****AGENDA ITEM: 4.2**

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**Reason for this Report**

1. This report has been produced in response to the Audit Committee's request for an update on governance and control within the Governance and Legal Services Directorate. This update is also to provide assurance on the implementation of the recommendations made by Internal Audit.

**Background**

2. Currently the Directorate has 62.34 FTE posts in Legal Services 21 FTE in Democratic Services. Please see attached current Directorate structure (a proposed restructure of Legal Services is currently underway). The Glamorgan Archives (a shared service funded by six Local Authorities) are a member of the Directorate Management Team and regularly report to the Director. They are governed by the Glamorgan Archives Joint Committee which meets four times a year and is currently serviced by Cardiff Democratic Services.
3. Legal Services is made up of three teams Community, Litigation and Property & Procurement, each managed by an OM. Democratic Services includes, Member & Committee Services, Scrutiny Services and Electoral Services. In addition the Director fulfils the statutory Monitoring Officer role for Cardiff Council and the City Deal Joint Committee. Please see attached structure chart in Appendix 1
4. The work done by the Legal Services department is either statutory work we carry out, for example children's safeguarding, land charges, education admission appeals, planning agreements or discretionary work relating to corporate priorities such as enforcement work, prosecutions or regeneration which the Council has an element of discretion over. Democratic Services supports the decision making processes of the Council and Members carrying out their ward work, and Electoral Services carry out the annual electoral registration canvass and publish the register and deliver elections.
5. The demand for the services provided by the Directorate are driven by legislation and our clients making it difficult to plan and develop a Directorate Delivery Plan in any detail. This was particularly evident for 2018/19 as recruitment was ongoing for two key posts to support the Democratic Services function, Head of Electoral Services and Head of Democratic Services. As a consequence objectives were kept broad to allow the post holders the opportunity to shape services and priorities in due course.

6. Legal Services has been awarded, and works hard to retain, the Law Society Quality Accreditation - Lexcel, and as part of this its practices are regularly reviewed by an external reviewer/assessor. At the recent reassessment Legal Services were found to be compliant with the standard, and no recommendations for areas of improvement were made. In preparation for the Annual Maintenance Visit earlier this year legal services carried out a client satisfaction survey. This found that 89% of our clients are satisfied or more than satisfied with our service.

## Issues

(a) Management / mitigation of the directorate's risks on the Corporate Risk Register  
Appendix A

7. The Directorate Risk Register is a standing item on the monthly Management Team agenda and the Risk Champion and Performance Lead discusses current risks and emerging risks with Management Team members quarterly in order to update the Directorate Risk Register.
8. The complexity of safeguarding cases being dealt with by Legal Services is growing. During 2017/18 colleagues in Legal Services raised concerns regarding the safeguarding cases, this was discussed with Social Services colleagues and both Directorates agreed a 'joint' risk. This was subsequently escalated and is now on the Corporate Risk Register. Managing the capacity and obtaining sufficient funding to deal with these cases is challenging.
9. In 2017/18 budgets were centralised to enable the Community Team in Legal Services to recruit additional Solicitors to undertake work that had previously been done externally for Social Services. As a consequence of the additional funding, during 2017/18 a recruitment drive took place to fill newly created posts. This was completed by the end of 2017. However, due to staff turnover, recruitment in the Community Team has been ongoing. This is exacerbated by the fact that Solicitors in Cardiff Council are only required to give one month's notice compared to new Solicitors joining the Authority who usually are required to give 2/3 months' notice both in private and other public practice. Consultation has taken place with the trade unions seeking agreement to extend the notice period of newly appointed solicitors to 3 months.
10. Due to both an increase in this work and the fact that the Community Team has rarely had a full complement of staff, workload is high for staff in post and there has continued to be a need to outsource some Legal work. The result of this is a potential overspend of £120,000 projected at month 5 for 2018/19. External spend will continue to be monitored closely throughout the year and a financial pressures bid has been submitted in relation to the 2019/20 budget for additional funding for further post creations in the Community Team.

(b) Senior Management Assurance Statement Appendix B

11. The Senior Management Assurance Statement is discussed twice a year in the Directorate Management Team Meetings which is also attended by the Risk Champion and Performance Lead and the Budget Accountant. The form is then completed, reviewed and signed on behalf of the Directorate by the Director. Budget Monitoring, Risk Management and Performance is always an item on the Directorate Management Team meetings and issues are raised and discussed as necessary. The directorate recognises the importance of, and is paying particular attention to, the integration of its work with the Social Services Directorate in order to ensure there is effective governance in respect of safeguarding



matters from a legal perspective. This is an area of particular focus which is being managed monitored and reviewed through the corporate risk register.

(c) Monitoring / implementing recommendations made in Internal Audit reports

12. During the year, there are regular, quarterly meetings with the Relationship Manager from the Audit team to discuss progress against the agreed plan and any emerging risks that might need to be reviewed during the year. Currently Internal Audit Reports are discussed and actions agreed with relevant managers. Recent example in my directorate include Local Land Charges, Payroll Governance and Partnership and Collaborative Governance.

Audits completed during 2017/18 and to date in 2018/19 are:

Audit	Status	Assurance rating	Number of recommendations
Land charges	Final report issued	Satisfactory	4
Governance	Final report issued	Effective	0
Payroll	Final report issued	Effective	0

The recommendations made for final reports issued are reported to every meeting of the Audit Committee on the **recommendation tracker** that is attached to the Internal Audit progress report. Managers are contacted before every Audit Committee meeting for an update on the implementation of recommendations, and the recommendations remain on the tracker until managers confirm that they have been fully implemented, at which point they are marked as closed.

13. One of the key priorities for Democratic Services has been to respond to the Wales Audit Office (WAO) Report ‘Overview and Scrutiny – fit for the future?’ following which an action plan has been developed to address each of the five Proposals for Improvement. However, it is worth noting that the WAO found that our scrutiny function is fit for the future. See Appendix C

**RECOMMENDATIONS**

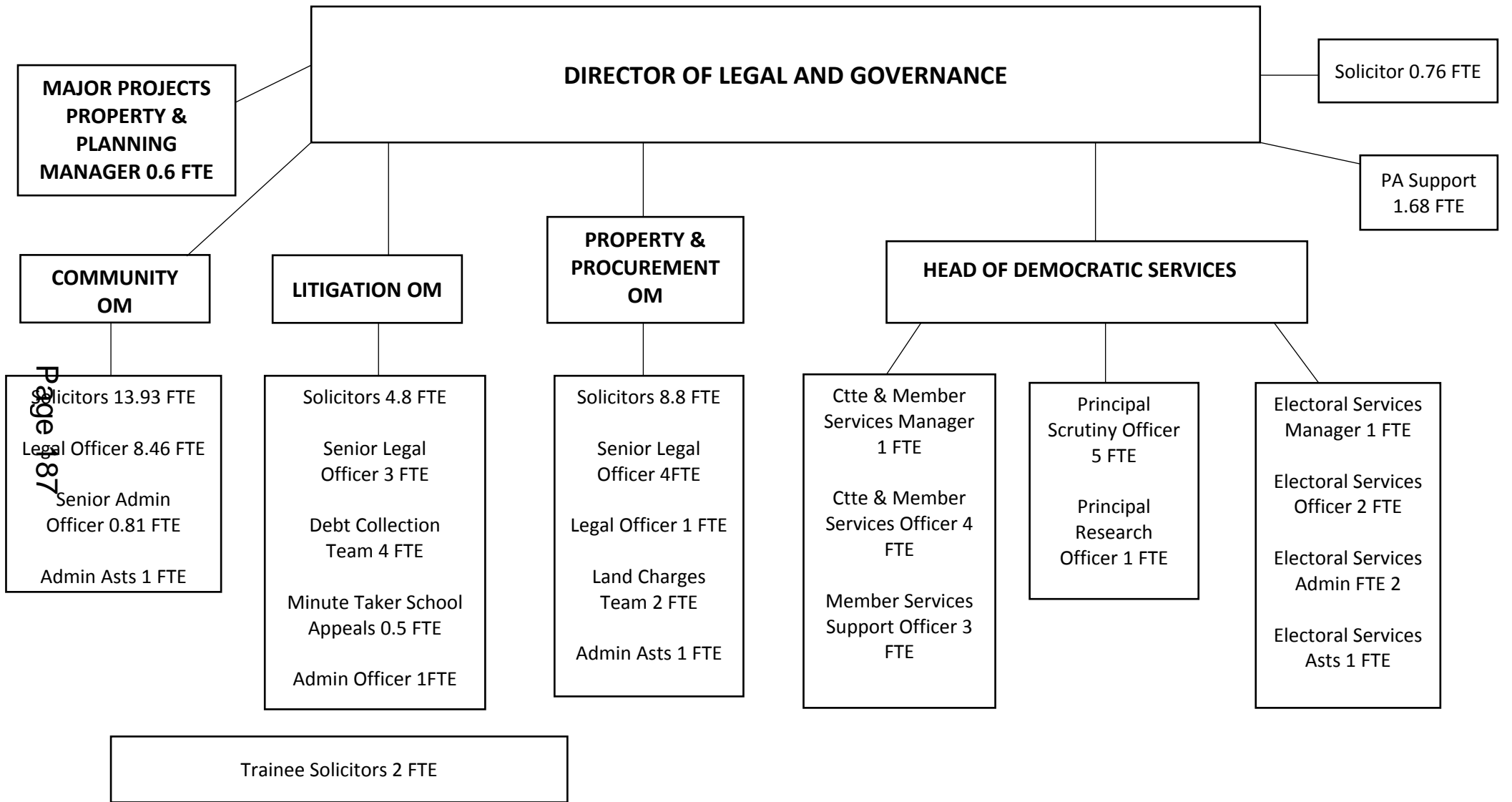
14. That the Committee notes the contents of the report.

**Davina Fiore, Director of Legal and Governance and Monitoring Officer**  
13th November 2018

The following Appendix is attached:-

- Appendix 1 – Governance and Legal Structure
- Appendix A – Management / mitigation of the directorate’s risks on the Corporate Risk Register
- Appendix B – SMAS Mid Year
- Appendix C – WAO Review of Scrutiny

Mae'r dudalen hon yn wag yn fwriadol



Mae'r dudalen hon yn wag yn fwriadol

Governance and Legal Services, Corporate Owned and Shared Risks – Quarter 2 2018/19.

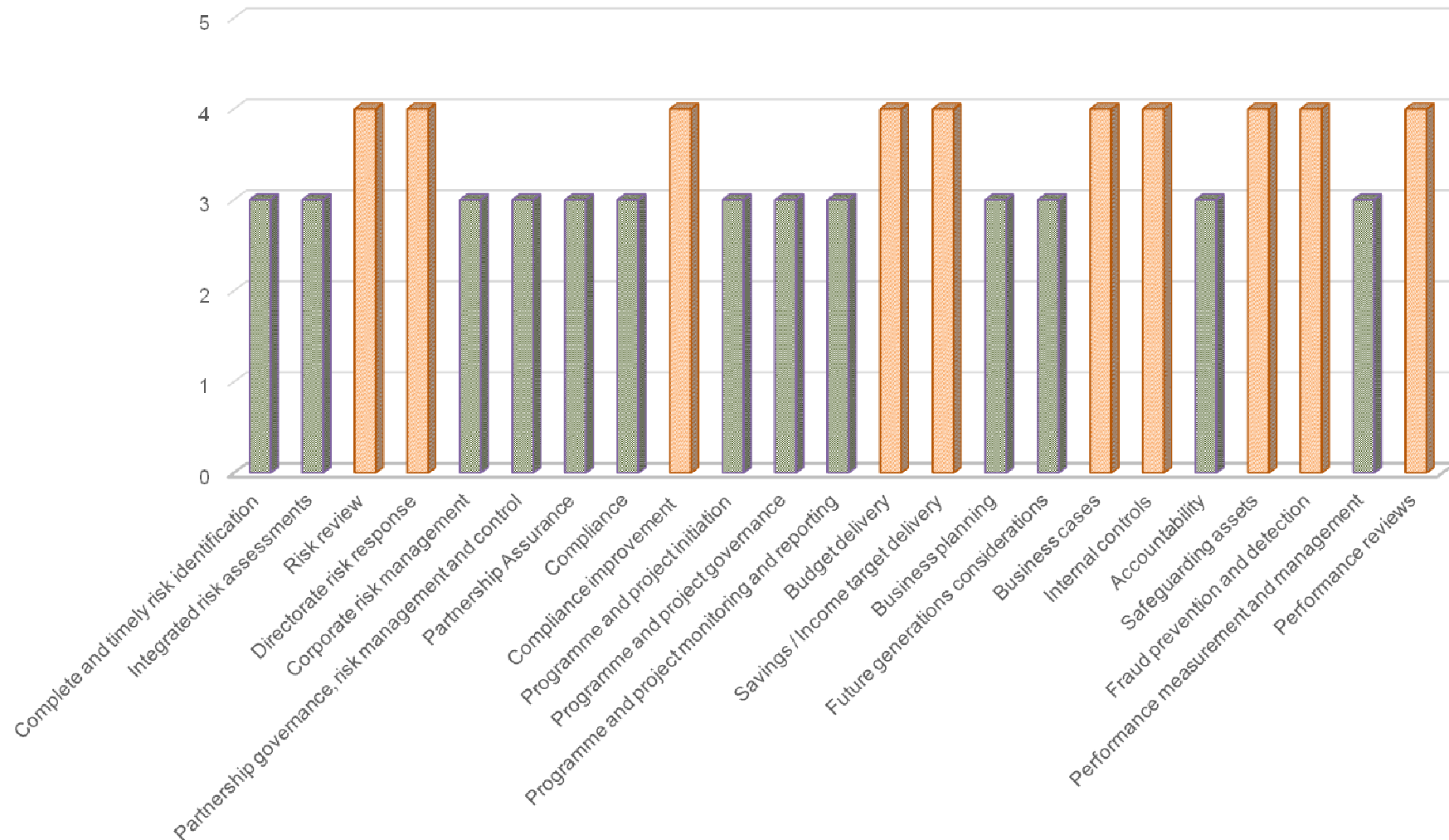
Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
<p><b>Legal Compliance</b></p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> <li>gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> <p>In each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions</li> <li>Implementation of decisions delayed due to challenges and potentially fatally disrupted.</li> <li>Impact on projects if reputation for sound management and implementation of projects is damaged</li> <li>Major incident.</li> <li>Adverse press/media reaction</li> <li>Involvement from Welsh Government in terms of performance standards or measures.</li> <li>Increased costs</li> <li>Impact on capacity to deal with proactive legal work</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Professional internal legal and financial advice provided to a high standard.</li> <li>Maintaining robust decision-making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level.</li> <li>Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience.</li> <li>Dedicated teams in specialist areas e.g. equalities, FOI / DPA.</li> <li>Sharing training/publications received.</li> </ul>	D	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Project briefs will continue to be developed during quarter 2.</li> <li>The current Organisational Development Programme will be closed down with programme closure reports being developed during Q1 18/19 and finalised in the early part of quarter 2.</li> <li>Governance arrangements will be reviewed in quarter 3 of 18/19 to ensure the projects within the CADP are being managed effectively.</li> <li>Programme dashboards are being developed with performance leads to ensure we capture both performance and project data, that will then be reported into the relevant Programme Board and SMT. These dashboards should be available during quarter 2 of 18/19.</li> <li>Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision)</li> <li>Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters within Directorates of specific statutory functions.</li> <li>Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early.</li> </ul>	<p><b>Davina Fiore</b></p> <p><b>Councillor Huw Thomas</b> Leader</p>
<p><b>Safeguarding</b></p> <p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners. Failure to comply with Court Orders.</p>	<p>Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> <li>A child/ren or adult/s suffers avoidable significant harm or death.</li> <li>Reputation of Council and partners.</li> <li>Severe adverse publicity.</li> <li>Potential regulator intervention.</li> <li>Loss of confidence by the community in the safety of children and adults.</li> <li>Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention.</li> <li>Potential litigation with associated financial penalties</li> </ul> <p>In addition to the above:</p> <ul style="list-style-type: none"> <li>Being held in contempt of court</li> <li>Imprisonment</li> <li>Unlawful detention of persons</li> <li>Payment of costs/damages</li> <li>Professional reputation of staff</li> <li>Recruitment problems</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Embedding the Social Services &amp; Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding.</li> <li>Strategic review of safeguarding governance across the region completed in partnership with the Vale of Glamorgan Council.</li> <li>Strategic review of the functioning of the Regional Safeguarding Adults Board completed.</li> <li>Ongoing implementation of the Child Sexual Exploitation Strategy.</li> <li>Implementation of the Corporate Safeguarding Board work programme.</li> <li>Growth proposals for operational safeguarding capacity included in 2017/18 budget.</li> <li>Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write.</li> <li>Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy.</li> <li>Draft Annual Plan for Regional Adults / Childrens Safeguarding Board.</li> <li>WG convened training for authorised officers to undertake APSO Training.</li> </ul>	D	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Embedding the Social Services &amp; Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding.</li> <li>Strategic review of safeguarding governance across the region completed in partnership with the Vale of Glamorgan Council.</li> <li>Strategic review of the functioning of the Regional Safeguarding Adults Board completed.</li> <li>Ongoing implementation of the Child Sexual Exploitation Strategy.</li> <li>Implementation of the Corporate Safeguarding Board work programme.</li> <li>Growth proposals for operational safeguarding capacity included in 2017/18 budget.</li> <li>Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write.</li> <li>Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy.</li> <li>Draft Annual Plan for Regional Adults / Childrens Safeguarding Board.</li> <li>WG convened training for authorised officers to undertake APSO Training.</li> <li>Regular performance monitoring meetings with Childrens' Social Services have been arranged. Process and escalation procedures agreed for Childrens work, to be agreed with adults.</li> </ul>	<p><b>Sarah McGill &amp; Claire Marchant &amp; Davina Fiore</b></p> <p><b>Councillor Huw Thomas</b> Leader</p> <p><b>Councillor Susan Elsmore</b> Social Care, Health &amp; Well-being</p> <p><b>Councillor Graham Hinchey</b> Children &amp; Families</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>

Mae'r dudalen hon yn wag yn fwiadol

# Governance & Legal Services SMAS 2018/19 (Mid Year)



■ 1. Not in Place   
 ■ 2. Limited Application   
 ■ 3. Mixed Application   
 ■ 4. Strong Application   
 ■ 5. Embedded



Mae'r dudalen hon yn wag yn fwriadol



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**Fit for the Future? – WAO Review of Overview & Scrutiny**

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**Reason for the Report**

1. To provide an opportunity for the Committee to consider a report of the Wales Audit Office (WAO) published in July 2018, *Overview and Scrutiny – Fit For the Future? – Cardiff Council*.

**Background**

2. Within the Committee's Terms of Reference is responsibility for scrutiny of the effectiveness of the Governance service of the Council, including its Overview & Scrutiny function. This includes the resourcing of the Scrutiny function to ensure open and transparent accountability in decision-making processes, in line with the requirements of the Local Government Measure 2011.
3. As a part of its statutory function, each year the WAO undertakes a number of national inspections in delivering its work programme. The Fit for the Future review was undertaken between October 2017 and January 2018, during which a sample of the Council's scrutiny committee meetings were observed; relevant meeting documentation provided to members, to support their scrutiny role, such as reports and presentations were reviewed; officers interviewed; and focus groups held with key groups of Members and officers. The focus was to explore with each of the 22 councils in Wales:
  - a. how 'fit for the future' their scrutiny functions are;
  - b. how councils are responding to current challenges, including the Wellbeing of Future Generations (Wales) Act 2015 (WFG Act) in relation to their scrutiny activity;

- c. how councils are beginning to undertake scrutiny of Public Service Boards (PSBs);
  - d. how well placed councils are to respond to future challenges such as continued pressure on public finances and the possible move towards more regional working between local authorities;
  - e. What progress had been made since the previous review of scrutiny, *Good Scrutiny? Good Question!* published in 2014.
4. In July 2018 WAO published the results of its review, and as a part of the Committees 2018/19 work programming discussions Members agreed consideration of the outcome should be a priority.

### **Structure of the Papers**

5. Attached to this cover report Members can reference:
- **Appendix 1** - the WAO published report. Overview and Scrutiny – Fit For the Future? – Cardiff Council
  - **Appendix 2** – the Council’s Action Plan developed to address the report’s Proposals for Improvement

### **Issues**

6. The review concludes that “*scrutiny arrangements in Cardiff are well-developed and supported by a culture that makes them well-placed to respond to current and future challenges, but the Council could be more innovative in how it undertakes scrutiny activity*”. Because:
- a. the Council recognises and values the importance of its scrutiny function;
  - b. scrutiny committee meetings are well-run;
  - c. the Council proactively engages key stakeholders in the work of its task and finish groups but recognises it could improve public involvement in its scrutiny activity; and
  - d. the Council could explore different ways of working to improve the impact of scrutiny activity and maximise the resources available.

7. Consequently, the Council has been issued with five Proposals for Improvement

P1	The Council should build on its experience of using different ways of working to Consider more innovative methods for undertaking scrutiny activity.
P2	The Council should consider the skills and training that scrutiny members may need to better prepare them for current and future challenges and develop and deliver an appropriate training programme, including providing additional training on the Well-Being of Future Generations (Wales) Act.
P3	The Council should make scrutiny committees' forward work programmes more accessible to the public and consider how it can involve the public in its scrutiny activity more effectively.
P4	The Council should publish final versions of scrutiny committee meeting minutes on its website in a more timely manner.
P5	The Council should review the type of scrutiny support required to enable the scrutiny function to respond to current and future challenges.

8. The review also concludes that scrutiny members value the support provided by the Council's scrutiny officers. It references the findings of the previous internal Review of Scrutiny, reported to this Committee in December 2016, highlighting that between 2008-09 and 2016-17 the scrutiny service revenue budget had reduced by 41%.

9. In September, the Committee heard during its scrutiny of the Budget Strategy for 2019-20, that the budget gap is estimated to be £34.2 million in 2019/20. This means at a Directorate Level work is underway to identify 17% savings in all areas except Schools and Social Services.

10. The WAO review acknowledges increasing pressure on resources, and encourages the Council to consider the type of support needed for its scrutiny activity in order to make best use of this support.

11. In 2014 the *Good Scrutiny? Good Question!* Scrutiny improvement study recommended that councils ensure that the impact of scrutiny is properly evaluated and acted upon to improve the function's effectiveness; including following up on proposed actions and examining outcomes. During the *Fit for Purpose* review the WAO asked members and officers to provide examples where scrutiny has had a positive impact. Generally, the examples cited were as a result of task and finish inquiries rather than formal scrutiny committee meetings.

12. At its September meeting this Committee agreed to prioritise a task and finish inquiry to review the Impact of Scrutiny as part of its 2018/19 work programme.

### **Scope of the Scrutiny**

13. Attached at **Appendix 2** is an action plan to address the Proposals for Improvement. The Plan indicates current arrangements in respect of each Proposal, lists the Actions identified to address the Proposal, who will lead on the action, the target date for completion of each action, and attaches a RAG status to enable future monitoring of the action plan.

14. In attendance for this item will be representatives of WAO, Councillor Chris Weaver, Cabinet Member (Finance Modernisation & Performance) and Gary Jones, (Head of Democratic Services) to answer any questions Members may have. The Head of Democratic Services will give a short presentation outlining the Action Plan shown at **Appendix 2** to the Committee.

### **Legal Implications**

15. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations

for decision that goes to the Cabinet/Council will set out any legal implications arising from those recommendations. All decision taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirements imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be taken having regard to the Council's fiduciary duty to its taxpayers; and (he) be reasonable and proper in all the circumstances.

### **Financial Implications**

16. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

### **RECOMMENDATION**

The Committee is recommended to:

- a. Note the Council's response to the WAO Proposals for Improvement for its Overview and Scrutiny arrangements.
- b. Consider whether it wishes to pass on any comments, concerns or observations in writing to the Cabinet Member Finance, Modernisation & Performance.

**Davina Fiore**

Director of Governance & Legal Services

27 September 2018

Mae'r dudalen hon yn wag yn fwriadol



## **AUDIT COMMITTEE: 13<sup>th</sup> November 2018**

### **CYBER SECURITY GOVERNANCE, RISK MANAGEMENT AND CONTROL REPORT OF CHIEF DIGITAL OFFICER**

#### **AGENDA ITEM: 4.3**

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

1. This report has been prepared to provide Audit Committee members with assurances on Cyber Security Governance, Risk Management and Control.
2. The Audit Committee's Terms of Reference sets out its responsibility:
  - a. To monitor the effective development and operation of risk management in the Council.
  - b. To monitor progress in addressing risk-related issues reported to the committee.

#### **Background**

3. Following a Request from Audit Committee, Cyber Security was escalated to the Corporate Risk Register (CRR) in Q4 of 2016/17. As such the risk is reviewed and updated quarterly by ICT as well as being monitored every quarter by Committee and bi-annually by Cabinet.
4. The release of the Cardiff Council's Digital Strategy at the start of the 2018/19 Financial Year laid out the vision for a more connected and modernised Authority that is able to work for Citizens and Employee's in the modern Digital World.
5. The Digital First and Digital by Default approach outlined in the Strategy means the implementation of new technology, applications and ways of working for Staff. New ways of working open up new avenues of risk and, in turn, must be addressed and governed accordingly.
  - a. *"We will deliver simple, efficient and attractive Digital Services that Customers will choose to use instead of the traditional contact channels. We refer to this as making our services "Digital First".*
  - b. *"Over time we will aim to make appropriate services "Digital by Default", meaning that they will primarily be available digitally."*
6. When referring to "Cyber-Security" we refer to the set of processes and controls created and put in place in order to safeguard the organisation's data, systems and networks from attack.

7. Cyber Security has found itself in the public eye following high-profile cases of Cyber Breaches
  - a. **NHS England and Scotland: May 2017** – Over 70,000 devices (including computers, MRI scanners and theatre equipment) affected after an exploit in outdated Windows systems was found. Resulted in non-critical emergencies being turned away and cancelled operations
  - b. **British Airways: August 2018** – 380,000 card payments were compromised. Names, addresses, email addresses and credit card details stolen through exploits in the company’s website and app. Required customers to cancel cards and resulted in huge reputational damage
  - c. **Facebook: September 2018** – Up to 90 million accounts comprised due to exploit in a “Profile View” setting. Users affected included CEO Mark Zuckerberg. This breach could carry huge financial penalties if GDPR regulations have been violated.
8. These high-profile cases clearly illustrate the need for robust Cyber Security measures and controls that stand up to the task of protecting the Council’s vital information. By their very nature Cyber-attacks can be indiscriminate in their approach. Attacks are often automated and exploit known vulnerabilities. Attacks can also be targeted against individuals or bodies.
9. In April 2018 the Government released the findings of its Cyber Security Breaches Survey. Of the 1,519 UK Businesses who took part in the survey, 43% experienced a Cyber-Security breach or attack in the last 12 months.
10. Cyber Security breaches have the potential to compromised sensitive information, corrupt data or inflict huge reputational damage as well as the potential for financial penalties to be incurred if laws and regulations are violated (e.g. GDPR).

## Issues

### **Risk Management:**

11. Implementing a robust Risk Management Regime is essential in order to establish a uniform means of identifying, managing and monitoring Risk. The principle method is through the Risk Register process.
12. ICT hold an ICT Risk Register which, in turn, feeds in to the Resources Directorate Risk Register (DRR). The ICT Risk Register is divided into two sections, one for general ICT related issues and one specifically for Cyber Security. Both of these feed into the Corporate Risk Register (CRR) where risks are identified as significant.
13. Two ICT risks are currently on the CRR following escalation from the DRR:
  - a. ICT Platforms Unsuitable/Outdated
  - b. Cyber Security

Due to the nature of Cyber Attacks (blanket attacks looking at exploiting out-of-date ICT infrastructure) both risks are intrinsically linked and are reviewed closely during Risk Assessments.



## Performance Review:

14. Cyber Security Maturity Assessment is regularly reviewed against 10 key risk factors following the National Cyber Security Centre (NCSC) recommended approach. The 10 risk factors as identified by the National Cyber Security Centre are attached as Appendix 1.

- Network Security
- User Education and Awareness
- Malware Prevention
- Removable Media Controls
- Secure Configuration
- Managing User Privileges
- Incident Management
- Monitoring
- Home and Mobile Working
- Set up a Risk Management Regime

In addition to this Cardiff Council has added an 11<sup>th</sup> risk factor called 'Corporate Cloud Security'

15. Following the latest Cyber Security Maturity Assessments, 3 of the 11 areas of Cyber Security underpinning the Corporate Risk have been identified as containing high risks. These generally are explained as:

- a. **Unsecure Configuration** - Unauthorised access and changes, exploitation of software bugs and insecure system configuration.
- b. **Monitoring** - Assessment of how and when systems are being use; detecting and reacting to attacks or accidental user activity.
- c. **Corporate Cloud Security** – A 2016 Internal Audit identified contract, SLA and service management weaknesses in some externally hosted services.

16. The findings and conclusions of the Cyber Security Maturity Assessments resulted in regular monitoring being undertaken to drive risk-based prioritisation and actions. The 3 high risk areas surrounding Secure Configuration, Monitoring and Corporate Cloud Security are escalated to SMT and improvement actions and support were discussed and agreed at SMT level. Cyber security risk is identified as high because of the potential consequences of any breach. Although the likelihood of breach has been reduced due to security mitigations the consequences of the breach remain high so the residual risk remains high.

17. The principle controls put in place for the risk areas are:

- a. **Secure Configuration** - Established secure baseline and compliance standards with centralised policies to secure user environments.
- b. **Monitoring** – Realtime and reactive log analysis with incident reporting to the Information Security Board (ISB) and discussed with the Internal Audit.
- c. **Corporate Cloud Security** - Maturing Data Privacy Impact Assessment and Cloud Impact Assessments process used to assess risks to data and technology solutions and identify mitigations.

### **Proposed Management Actions in Cyber Security Corporate Risk:**

18. ICT and Information Governance (IG) Teams to continue to liaise with FM for physical security assurances and to promote an incident reporting culture.
19. To enhance user education and awareness via Information Governance Seminars for each Directorate.
20. To ensure strong ICT security, monitoring and cloud security controls:
  - a. ICT lifecycle and notification targets are being monitored and managed through the 'ICT Platforms' risk actions
  - b. Collaboration between ICT and Information Governance to develop and map current ICT system providers in phased development of an Information Asset Register
  - c. Privacy Impact Assessments (PIA) and Cloud Impact Assessments (CIA) to be created and reviewed regularly to ensure compliance with the requirements of the GDPR Action Plan. These assessments are managed by the Information Governance Team and act as general security good practise guidance
  - d. Governance and management requirements to be formalised for periodic and systematic review of all ICT systems.

### **Internal Audit**

21. An Internal Cyber Security Governance Audit was completed in March 2018 and a set of recommended actions laid out. These recommendations have been taken forward and incorporated into the CRR as Proposed Management Actions
22. The outcome of the Internal Audit identified "User awareness" as one of the key areas, requiring attention. In addition to the Cyber Security measures already in place, the audit identified that these systems require user knowledge in order for the Council's Cyber Security to be as robust as possible.
23. 12 Cyber Security eLearning modules have been purchased and made available to all Council Staff via the Council's training "Academy" e-portal. These are also accompanied with Cyber-security Awareness videos circulated through staff information.
24. These address the key areas such as good password practise, Internet Security, Phishing Attacks and when to consult ICT to seek advice or assistance. Completion reports are then run monthly to identify staff take-up levels and help assist targeting directorates with low take-up.

### **Other Review Methods**

25. ICT performs reviews of the risks to its service, from Cyber Security and all other sources, on a quarterly basis following the council's standard Risk Management Strategy. This escalates risks through the Directorate risk register on onto the Corporate risk register as appropriate. ICT has a Risk Champion that provides an active input to the overall Directorate risk management regime as a critical friend.

26. Risks are monitored regularly via both ICT and Customer and Digital Management Teams. Risks are escalated to the Information Security Board as well as the Resources directorate management meetings and SMT
27. As well as internal review and audits performed by the Internal Audit Teams and a dedicated ICT Security and Compliance Team, the Council is assessed yearly by the Cabinet Office to ensure it is compliant with the Public Services Network (PSN) security requirements. This enables the Council to communicate across government and public sector organisations and exchange data necessary to perform key Council functions. Examples are enabling our Housing Benefits team to access data from the DWP or to access information on Blue Badge service users securely.
28. This assessment includes a qualified 3<sup>rd</sup> party independent IT Health Check (ITHC) of the Council's internal and external (internet facing) networks, to find and remediate vulnerabilities and weaknesses to cyber-attacks.

## Governance and Control

29. The Digital Strategy key principles outline the strategic direction in which new Digital Services are developed and subsequently implemented. The Digital Strategy key principles are attached as Appendix 2.

30. Key principles include:

**Modern, fit-for-purpose technology will be used to ensure efficiency:**

*"We aim to use Cloud-based solutions wherever we can in order to reduce reliance on physical hardware."*

**Digital Services will be continually monitored, assessed and improved:**

*"We will always test Digital Services thoroughly before releasing them for general use. This will include piloting them to assess the customer experience and completing detailed technical testing to check that they fulfil requirements."*

31. These principles are underpinned by the Council's comprehensive ICT Security Policy. The policy, in conjunction with the Information and IT Governance Framework, provides direction and guidance to ensure that ICT security is in line with the relevant laws, regulations and business requirements.

32. Key Message from the ICT Security Policy:

- a. *"All new ICT systems being considered must be assessed and approved through the council's Architecture Review Team (ART). A Privacy Impact Assessment (PIA) should be performed for all new systems in line with the Council's procedures which are outlined within contract award and project documentation"*

33. Data Privacy Impact Assessments (DPIA) are also performed by the Information Governance team on each new business change. One of the subsets of DPIA is the Cloud Impact Assessment (CIA) which focuses on the technological impact of using cloud-based systems. These are used less than DPIA but with the advent of the digital agenda these are likely to grow in number with more externally hosted solutions being consumed by the organisation.

## **Recommendations**

34. That the Committee notes the contents of the report

**Isabelle Bignall**  
**Chief Digital Officer**  
**13<sup>th</sup> November 2018**

*The following Appendix is attached:*

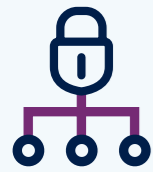
*Appendix 1: Nation Cyber Security Centre: 10 Steps to Cyber Security.*

*Appendix 2: Digital Strategy: Key Principles.*

*Appendix 3: ICT Governance Structure Diagram*

# 10 Steps to Cyber Security

Defining and communicating your Board's Information Risk Regime is central to your organisation's overall cyber security strategy. The National Cyber Security Centre recommends you review this regime – together with the nine associated security areas described below, in order to protect your business against the majority of cyber attacks.



## Network Security

Protect your networks from attack. Defend the network perimeter, filter out unauthorised access and malicious content. Monitor and test security controls.



## User education and awareness

Produce user security policies covering acceptable and secure use of your systems. Include in staff training. Maintain awareness of cyber risks.



## Malware prevention

Produce relevant policies and establish anti-malware defences across your organisation.



## Removable media controls

Produce a policy to control all access to removable media. Limit media types and use. Scan all media for malware before importing onto the corporate system.



## Secure configuration

Apply security patches and ensure the secure configuration of all systems is maintained. Create a system inventory and define a baseline build for all devices.



## Managing user privileges

Establish effective management processes and limit the number of privileged accounts. Limit user privileges and monitor user activity. Control access to activity and audit logs.



## Incident management

Establish an incident response and disaster recovery capability. Test your incident management plans. Provide specialist training. Report criminal incidents to law enforcement.



## Monitoring

Establish a monitoring strategy and produce supporting policies. Continuously monitor all systems and networks. Analyse logs for unusual activity that could indicate an attack.



## Home and mobile working

Develop a mobile working policy and train staff to adhere to it. Apply the secure baseline and build to all devices. Protect data both in transit and at rest.

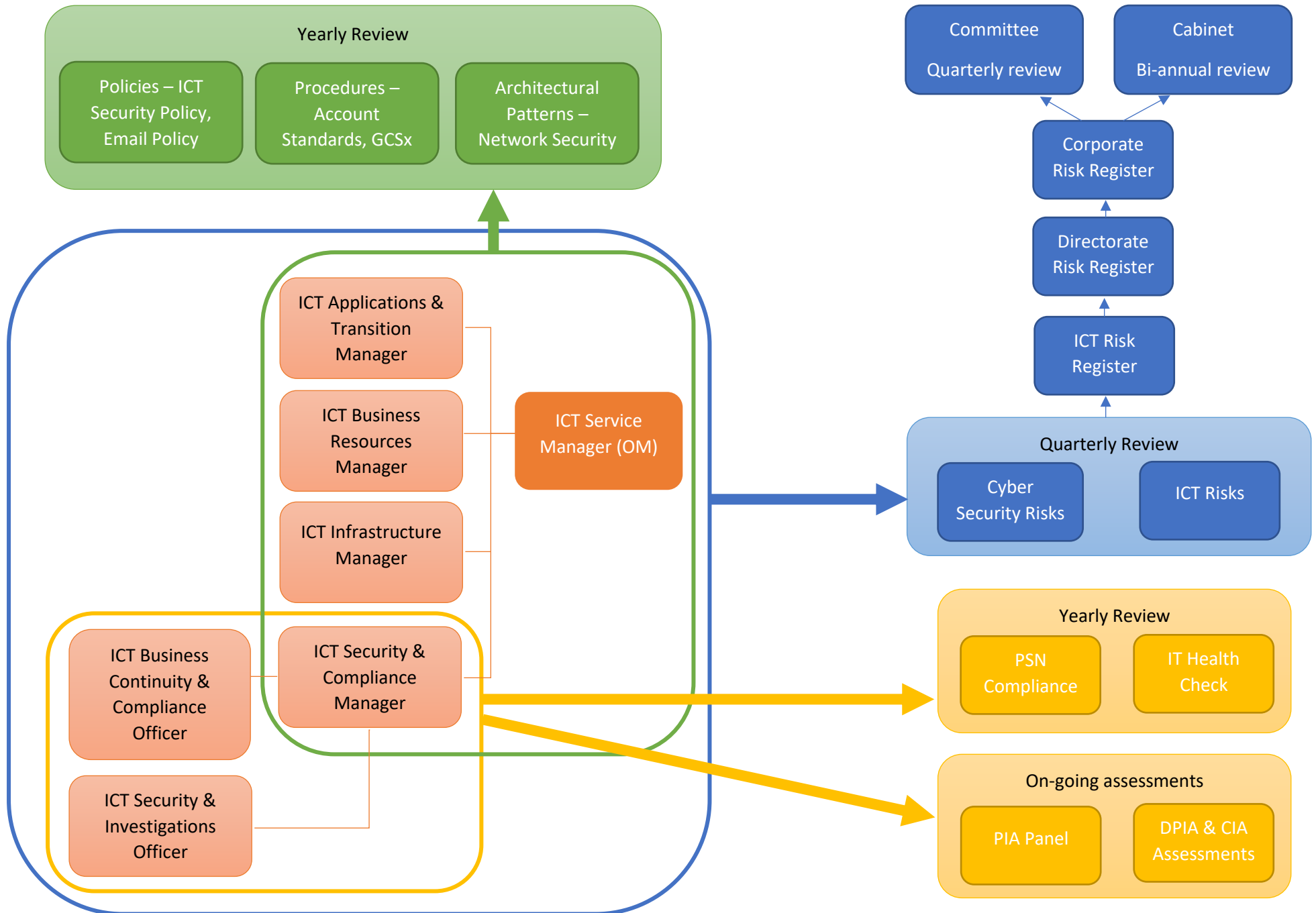


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PRINCIPLE:	DESCRIPTION:
The customer experience comes first	<ul style="list-style-type: none"> <li>• Delivering exceptional experience to our citizens and staff remains our primary focus.</li> <li>• No Digital project will ever have a negative impact on the customer experience. Whether we are delivering changes to customer-facing processes or behind-the-scenes we will ensure that the current standard of customer experience is maintained or, wherever possible, improved.</li> <li>• We will ensure that the same range of services and customer experience is available to our customers, regardless of the channel by which they contact us.</li> </ul>
Digital interactions will become the first choice for our customers	<ul style="list-style-type: none"> <li>• We will deliver simple, efficient and attractive Digital services that customers will choose to use instead of the traditional contact channels. We refer to this as making our services 'Digital First'.</li> <li>• Over time we will aim to make appropriate services 'Digital by Default', meaning that they will primarily be available digitally.</li> <li>• We recognise that not every citizen will be able to use digital services so we will always ensure that there is an accessible route for them to interact with us. However, this will become the exception rather than the norm. We will also work to improve levels of digital inclusion across Cardiff.</li> </ul>
Modern, fit-for-purpose technology will be used to ensure efficiency	<ul style="list-style-type: none"> <li>• We aim to use Cloud-based solutions wherever we can in order to reduce reliance on physical hardware that must be maintained, repaired and replaced.</li> <li>• We will ensure that our technology platforms can be rapidly scaled up or down to ensure that the associated costs directly relate to service demand. We should only pay for services that we use.</li> <li>• We will seek to make the most of emerging technologies; delivering enhanced customer service through the use of smart devices, virtual assistants and social media platforms</li> </ul>

PRINCIPLE:	DESCRIPTION:
Technology solutions will be re-used, purchased and developed responsibly	<ul style="list-style-type: none"> <li>• Our default approach to the procurement of technology solutions is to re-use before we buy, and to buy before we develop something new. <ul style="list-style-type: none"> <li>o We will re-use existing technology where it is fit-for-purpose</li> <li>o If our existing technology is not fit-for-purpose we will seek to procure an existing solution that is the best fit for our requirements</li> <li>o If no solution exists that can fulfil our requirements we will seek to develop a solution</li> </ul> </li> <li>• When buying or developing a technology solution we will ensure that we identify the best fit option to meet our current and future requirements, and to provide value for money.</li> <li>• We will ensure that existing technology platforms are fully supported, that solutions are developed to a corporate standard, and that our ICT Service team has the required training, knowledge and support to ensure ongoing maintenance and support can be delivered.</li> </ul>
Digital services will support collaborative working to improve outcomes for our customers	<ul style="list-style-type: none"> <li>• Digital solutions will be implemented across service areas and external suppliers to improve collaborative working. The adoption of Cloud-based solutions will increase accessibility and agility.</li> <li>• Cardiff Council will prioritise analysis of the service data that we gather so that we can make better decisions, handle and forecast customer demand, and improve collaborative working.</li> <li>• Where appropriate we will share data across areas in support of improved service delivery and to improve outcomes for citizens. Security controls will be proportionate, to protect data and services, but not impede user accessibility.</li> </ul>
Digital services will be continually monitored, assessed and improved	<ul style="list-style-type: none"> <li>• We will always test Digital services thoroughly before releasing them for general use. This will include piloting them to assess the customer experience and completing detailed technical testing to check that they fulfil requirements.</li> <li>• Digital services will be monitored to assess the user experience and levels of engagement. We will use the data that we gather to make continual improvements to services.</li> <li>• We will document the lessons we have learn as we expand the number of Digital services we offer and will seek advice and guidance from organisations that have experience in Digital transformation to avoid reinventing the wheel or making the same mistakes that they have made.</li> </ul>





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**AUDIT COMMITTEE: 13 November 2018**

**FINANCIAL UPDATE 2018/19**

**REPORT OF THE CORPORATE DIRECTOR RESOURCES**

**AGENDA ITEM: 5.1**

**Reason for this Report**

The Audit Committee terms of reference sets out their responsibility for governance, risk and control and also financial reporting. This report allows the Committee to be updated with reference to the above.

**Background**

To assist the Committee in understanding the current financial context within which the Council is operating, this report provides an update in relation to the current monitoring financial position for 2018/19. It also outlines the preparatory work being undertaken for the 2019/20 budget and medium term including an update on the Provisional Settlement which was announced on 9 October 2018.

**Issues**

**Financial Monitoring**

The Month Six Monitoring Report will be reported to Cabinet on 15 November 2018. This report will be issued to the Audit Committee at the point of publication and will be available for consideration at the Committee's meeting on 13 November.

**Budget Preparation**

Following the approval of the Budget Strategy Report by Cabinet in July 2018, directorates have spent the summer reviewing and updating savings proposals and testing their achievability as part of establishing a balanced budget position for approval by Council in February 2019. The Budget Strategy Report indicated a potential budget gap of £34.2 million in 2019/20 and £91.4 million over the period to 2021/22. Within those figures, directorate savings were expected to amount to £65.6 million over the three years with the balance accounted for through other strategy assumptions including increases in Council Tax.

Until the Provisional Settlement was announced in October 2018, Welsh Local Authorities' planning assumptions were based on indicative funding allocations, which were received in connection with the 2018/19 settlement. These suggested an average funding decrease of 1% in 2019/20, and this was the position reflected in Cardiff's 2019/20 Budget Strategy Report. When provisional funding for 2019/20 was announced on 9 October 2018, the average settlement across the 22 Welsh authorities was a slight improvement on earlier indications, with an average decrease of 0.3% and individual settlements ranging from a 1% decrease to a 0.4% increase.

Cardiff was the authority in receipt of the 0.4% funding increase, which equates to additional cash of £1.658 million in 2019/20. It is important to note that Cardiff's comparatively favourable funding settlement is indicative of relative demand. However, despite Cardiff's above average position, additional cash of £1.658 million represents a real term reduction, which does not compare with the level of inflationary and demand pressure that the Council is actually experiencing.

The Provisional Settlement included the statement that "following the UK Autumn Budget on 29 October, Local Government services are a top priority for additional funding in the event of additional resources being made available to the Welsh Government." The UK budget, which has since been announced, set out an indicative additional £550 million over three years for Wales. It is therefore reasonable to assume that the Final Settlement from WG will be an improvement on the Provisional Settlement. However, the Final Settlement is not due until 19 December 2018, which is challenging from a planning perspective.

Information on specific grants for 2019/20 was published two weeks later than the Provisional Settlement this year, on 23 October 2018. Grant listings are currently at an All Wales level and require further clarity. However of note is Welsh Government's intention not to proceed with cuts to grant streams that were previously planned for 2019/20, including for example to the Education Improvement Grant, Post 16 education and Single Revenue Grant (Environment.) Other items of note include the intention to continue to support the Minority Ethnic Achievement Grant in 2019/20, as well as a £30 million additional grant for Social Services and a new £15 million grant for Schools. The terms and conditions associated with these grants will be key, as it will inform the extent to which they are able to alleviate the current position by supporting pressures already identified within the budget gap. Current indications are that the £15 million schools grant is to be aimed at Teachers' professional development. Whilst welcome, this will not assist in addressing pupil number pressures in schools, or the recently announced increases associated with employers' contributions to the Teachers' Pension Scheme.

From a capital perspective, the Provisional Settlement for Cardiff is that General Capital Funding (GCF) will increase by 1.15% in 2019/20 or £157,000 in cash terms. Whilst the additional cash is welcome, the sum will not have a material impact on the Council's capital programme. In terms of specific grants, Welsh Government have announced an additional £60 million (over the period 2018/19 – 2020/21) for public highways.

The budget gap is has been updated to reflect the funding levels announced in the Provisional Settlement, as well as to take account of other emerging issues. The

outcome of this update will be reflected in the 2019/20 Budget Proposals – For Consultation Report, which is due to be received by Cabinet on 15 November 2018. The report and consultation document will be available on the Council’s website and made available to the Audit Committee at the point of publication. In addition to setting out the updated budget reduction requirement, it will also set out the budget proposals for consultation. The position reflected within the consultation must be based on the Provisional Settlement, as that is the current formal position. However, there is a clear expectation of an improvement in funding at final settlement, and this will provide the opportunity to revisit some of the assumptions inherent in the consultation position, in order to continue to protect the Council’s long-term financial resilience. The results of the consultation will be considered by Cabinet in preparing their final 2019/20 budget proposal.

### **Reasons for Recommendations**

To inform Audit Committee of the current financial context for the Council.

### **Legal Implications**

There are no direct legal implications arising from this report.

### **Financial Implications**

There are no direct financial implications arising from this information report.

### **Recommendations**

To note the financial information provided and the process being adopted in respect of budget preparation for 2019/20 and the medium term.

**CHRISTINE SALTER**  
**CORPORATE DIRECTOR RESOURCES**  
**November 2018**

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# CITY OF CARDIFF COUNCIL CYNGOR DINAS CAERDYDD



**AUDIT COMMITTEE: 13 November 2018**

## **CORPORATE RISK MANAGEMENT – QUARTER 2 2018/19**

### **REPORT OF CORPORATE DIRECTOR RESOURCES      AGENDA ITEM: 6.1**

1. To update Audit Committee on the risk management position at the end of quarter 2 2018/19.
2. The Audit Committee's Terms of Reference sets out their responsibility:
  - To monitor and scrutinise the effective development and operation of the risk management arrangements within the Council, and;
  - To oversee progress in addressing risk-related issues reported to the Committee, such as the Corporate Risk Register (CRR).

#### **Background**

3. Audit Committee receives a risk management update each financial quarter, and an opportunity to raise comments. The last Audit Committee review was on 18 September 2018, at which time the risk management position at quarter 1 2018/19 was presented.
4. Each Directorate holds a Directorate Risk Register (DRR), and the Senior Management Team (SMT) collectively own a Corporate Risk Register (CRR). The CRR records the main risks to the delivery of corporate objectives and priorities, whilst the DRRs record the key risks to the delivery of Directorate functions and priorities.
5. A risk escalation process is in place, whereby each Director is required to take ownership of all residual (current) risks rated as 'red/amber' and above on their DRR and, at a minimum, to escalate all 'red' residual risks to SMT for collective ownership and review.
6. SMT determine if any changes are required to the CRR each quarter as a result of this reporting process. The remaining escalated risks continue to be held on DRRs and reviewed by SMT each quarter until it is agreed that mitigation is sufficient for risk ownership to transfer back to the Directorate.
7. The Council's Risk Management (RM) Strategy and Policy was approved by Cabinet on 12 July 2018. Prior to approval, Audit Committee considered the draft RM Strategy and Policy on 30 January 2018, which introduced a 4x5 Risk Matrix.
8. The quarter 2 risk assessments have applied the 4x5 Risk Matrix, in which the assessment of 'Impact' follows the previous Matrix, but the 'Likelihood' assessment scale has expanded to include 'Possible'. The 'Likelihood' scale now comprises 'Very Likely', 'Likely', 'Possible', 'Unlikely' and 'Very Unlikely'.

## Issues

9. Each Director has worked with their Risk Champion(s) to undertake their quarter 2 risk management review. The quarter 2 risk assessments are presented on the Corporate Risk Map (Appendix A), the Summary CRR (Appendix B) and the Detailed CRR (Appendix C).
10. The Risk Management Review process has two tiers (Directorate and Corporate) and the actions at each for quarter 2 are detailed as follows.

### Directorate Risks

11. At the end of quarter 2, 269 risks were reported from DRRs. All escalated risks and requests for de-escalation were considered by the SMT in October 2018.
12. It was agreed that 11 directorate risks would be carried forward as SMT escalated risks at the end of quarter 2.

Directorate	Resources	People and Communities	Planning, Transport and Environment	Economic Development	Education & Lifelong Learning	Social Services	Governance & Legal Services
Directorate Risks	118	38	29	26	33	17	8
Risks at SMT Escalation Point	4	1 (shared)	3	1 (shared)	2	1 (shared)	1 (shared)

### Corporate Risks

13. The SMT reviewed the escalated directorate risks and corporate risk updates from risk owners as at the end of quarter 2. In consideration of the potential impact on corporate priorities and objectives and the supporting mitigations, the following material CRR changes were agreed.
14. **Schools Delegated Budgets** - The Residual risk increased from 'Red/Amber' to 'Red'. Whilst the Medium Term Financial Plan of the Council indicates a continued protection of school delegated budgets from general efficiency savings, it is highly likely that some of the proposals for savings on central Education budgets will have an impact on school delegated budgets. The impact of these proposals will be compounded by the increasing impact of the requirement to fund the revenue financing costs arising from the Band B and Asset Renewal capital Investment schemes from schools delegated budgets. Work has commenced through the School Budget Forum to improve medium term financial planning in schools this will not have an immediate impact on schools in the 2019/20 financial year.
15. **ICT Platforms Unsuitable / Outdated** – The impact of the residual risk has increased from Likely / Moderate Impact) to B2 (Likely / Significant Impact). Reviewing this risk against the new *Risk Matrix and Definitions* guide and considering the authority's increased appetite to consume cloud services, there is increased potential impact to service areas that are using incompatible technologies. There are also a significant number of end-user workstations, network switches and server infrastructure technologies that are coming to the end of their supported life en masse in the next couple of years which will require council significant resources, finance and effort to replace. An in depth review of this risk is currently being undertaken and recommendations on any mitigation actions as well as a schedule of prioritised



investment to further reduce the risk will be an output of this review. The review is expected to complete by December.

16. **Increase in Demand (Children's Services)** - Following the recent changes to the Risk Management Strategy and Policy, Social Services have reassessed corporate risks in light of the addition of the "Possible" category in relation to the likelihood of the risk occurring. In the case of the risk re: "Increase in Demand (Children's Services)", the likelihood of "Possible - Not likely to occur, but a distinct possibility" is assessed as being more appropriate than "Unlikely – Not expected to happen, but there is the potential". This is based on the evidence that the number of looked after children is continuing to increase and reached the highest reported number of 869 at the end of Quarter 2. There is an associated increase in the number of looked after children who are placed outside Cardiff. Positive outcomes for children and financial position of the Council in are at risk particularly due to the increased number of residential placements.
17. **Asset Management** – The risk had been removed from the corporate risk register, as governance arrangements for the effective operation of the Council's Asset Management Board are now well established to deliver the 2015-20 Corporate Property Strategy. Management actions to control any residual risk will be addressed by the directorate at an operational level, for example, the implementation of a new technology platform to assist with managing the estate. The risk related to statutory building equipment maintenance compliance will remain on the CRR for discussion at SMT.

#### **Reason for recommendation**

18. To enable the Audit Committee to monitor and consider the quarter 2 risk management position 2018/19.

#### **Legal Implications**

19. There are no direct legal implications arising from this report. However, one of the benefits of identifying risk is that mitigation measures may be taken, if appropriate, and consequently successful claims against the Council may be avoided altogether, or reduced.

#### **Financial Implications**

20. There are no direct financial implications arising from this report. The Corporate Risk register will be used to guide the Internal Audit Plan and the Council's resource planning processes and forms an important part of the governance arrangements for the Council.

#### **Recommendation**

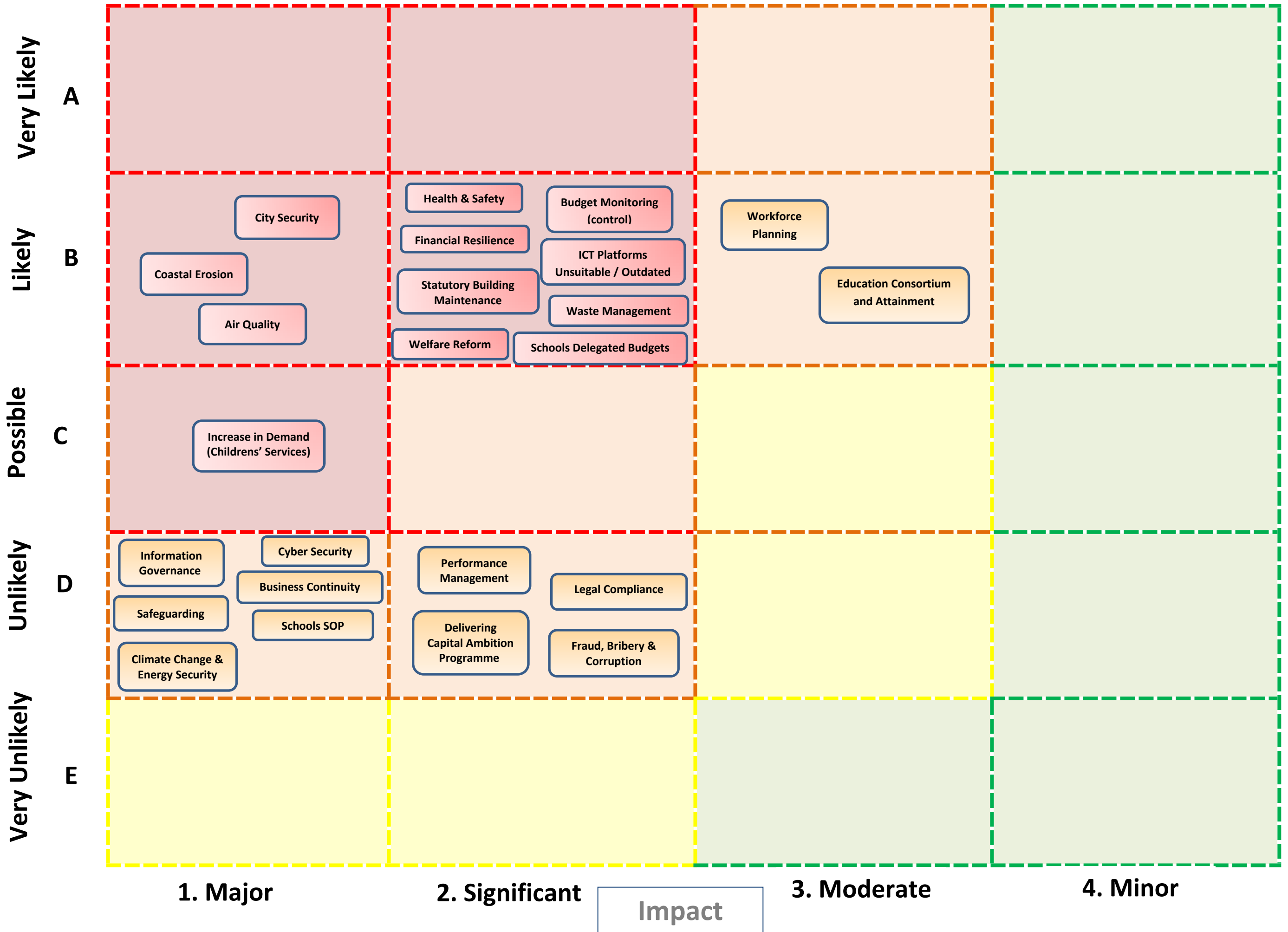
21. Audit Committee to note and comment upon the risk management activity and the contents of the Corporate Risk Register, and to consider the information given in the programming of its work.

**CHRISTINE SALTER  
CORPORATE DIRECTOR RESOURCES**

The following Appendices are attached:

<b>Appendix A</b> - Corporate Risk Map	- Q2 2018/19
<b>Appendix B</b> - Summary Corporate Risk Register	- Q2 2018/19
<b>Appendix C</b> - Detailed Corporate Risk Register	- Q2 2018/19

# Corporate Risk Map – 2018/19 (Quarter 2 Position)



Impact

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Risk Description	Inherent Risk	Residual Risk	Risk Owner	Cabinet Member
<b>EVENT DRIVEN RISKS</b>				
<b>1. City Security</b> Major security-related incident in the city as a result of international or domestic terrorism.	High Priority A1	High Priority B1	Christine Salter (Joe Reay) Andrew Gregory	Councillor Huw Thomas Leader
<b>2. Welfare Reform</b> That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.	High Priority A2	High Priority B2	Sarah McGill (Jane Thomas)	Councillor Lynda Thorne Housing & Communities
<b>3. Cyber Security</b> Three of the eleven areas of a Cyber Security assessment underpinning the corporate risk have been identified as high risk as follows: <ul style="list-style-type: none"> <li>Unsecure Configuration - unauthorised access, changes and exploitation to systems.</li> <li>Monitoring - inability to assess how and when systems are being used, leading to an ineffective response to deliberate attacks or accidental user activity.</li> <li>Corporate Cloud Security - 2016 Internal Audit identified contract, SLA and service management weaknesses in externally hosted services.</li> </ul>	High Priority A1	Medium Priority (Red/Amber) D1	Christine Salter (Phil Bear)	Councillor Chris Weaver Finance Modernisation and Performance
<b>4. Waste Management</b> Failure to meet statutory recycling targets and deliver cost effective compliance with waste management legislation.	High Priority B1	High Priority B2	Andrew Gregory (Matt Wakelam)	Councillor Michael Michael Clean Streets, Recycling and Environment
<b>5. Schools Organisation Programme (Band B)</b> Very large scale Capital Programme – Band B (£284m) with tight timescales for delivery, in context of very rapidly growing primary age school population.	High Priority A1	Medium Priority (Red/Amber) D1	Nick Batchelar (Janine Nightingale)	Councillor Sarah Merry Deputy Leader & Education, Employment & Skills
<b>6. Business Continuity</b> Large scale incident/loss affecting the delivery of services.  The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external emergencies, also fails in response to an incident	High Priority B1	Medium Priority (Red/Amber) D1	Christine Salter	Councillor Huw Thomas Leader
<b>ONGOING RISKS</b>				
<b>7. Statutory (building, installation &amp; equipment) Maintenance</b>  RAMIS holds statutory obligations across the estate and is the central system for uploading of certificates and identifying and closing down remedial actions.  The risk from statutory inspections lies with the cost of the remedial works which are required to maintain the premises, installation, equipment in a safe and legally compliant condition. However, the visibility provided by RAMIS allows accurate evaluation of risk and targeting of funds available.	High Priority A1	High Priority B2	Neil Hanratty	Councillor Russell Goodway, Investment & Development
<b>8. Air Quality (&amp; Clean Air Strategy)</b>  Poor air quality is the most significant environmental determinant of health.  UK Government has placed the improvement of Air Quality very high on their agenda and it has been made clear that they consider the responsibility for addressing the issue is at the door of Local Authorities.	High Priority A1	High Priority B1	Andrew Gregory (Gary Brown)	Councillor Caro Wild, Strategic Planning & Transport
<b>9. Education Consortium &amp; Attainment</b>  The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.	High Priority B2	Medium Priority (Red/Amber) B3	Nick Batchelar (Angela Kent)	Councillor Sarah Merry, Deputy Leader & Education, Employment & Skills
<b>10. ICT Platforms Unsuitable/ Outdated</b>  The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.	High Priority A2	High Priority B2	Christine Salter (Phil Bear)	Councillor Chris Weaver Finance Modernisation and Performance
<b>11. Safeguarding</b>  Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners. Failure to comply with Court Orders.	High Priority B1	Medium Priority (Red/Amber) D1	Sarah McGill & Claire Marchant & Davina Fiore	Councillor Huw Thomas Leader  Councillor Susan Elsmore Social Care, Health & Well-being  Councillor Graham Hinchey Children & Families  Councillor Chris Weaver Finance Modernisation and Performance
<b>12. Financial Resilience</b>  Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan which would significantly weaken the financial resilience of the Council.  The current outlook is that there is a Budget Gap of £91 million for the period 2019/20 to 2021/22.	High Priority A1	High Priority B2	Christine Salter (Ian Allwood)	Councillor Chris Weaver Finance Modernisation and Performance
<b>13. Budget Monitoring (Control)</b>  Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.	High Priority A1	High Priority B2	Christine Salter (Allan Evans)	Councillor Chris Weaver Finance Modernisation and Performance
<b>14. Performance Management</b>  After considerable progress in both developing the way the organisation manages performance and in actual performance improvement, there is a need to focus on ensuring Performance Management practices are mature, embedded and consistently applied as the organisation looks to continue improving outcomes in the face of significant financial pressures.	High Priority B2	Medium Priority (Red/Amber) D2	Christine Salter (Joe Reay)	Councillor Chris Weaver Finance Modernisation and Performance

<b>15. Health and Safety</b> Ineffective health and safety management across the Council with poor application of health and safety policy and guidance.	High Priority A1	High Priority B2	Christine Salter (Donna Jones)	<b>Councillor Chris Weaver</b> Finance Modernisation and Performance
<b>16. Climate Change &amp; Energy Security</b> Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply	High Priority B1	Medium Priority (Red/Amber) D1	Andrew Gregory	<b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment
<b>17. Coastal Erosion</b> Breach of current defences resulting in widespread flooding.	High Priority B1	High Priority B1	Andrew Gregory	<b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment
<b>18. Information Governance</b> Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.	High Priority A1	Medium Priority (Red/Amber) D1	Christine Salter (Vivienne Pearson)	<b>Councillor Chris Weaver</b> Finance Modernisation and Performance
<b>19. Increase in Demand (Childrens' Services)</b> Failure to effectively manage demand resulting in increase in number of looked after children and the service and financial pressures this presents.	High Priority B1	High Priority C1	Sarah McGill & Claire Marchant	<b>Councillor Susan Elsmore</b> Social Care, Health & Well-being  <b>Councillor Graham Hinchey</b> Children & Families
<b>20. Delivering Capital Ambition Programme</b> Projects within the Programme fail to deliver the change required to ensure the implementation of the Administration's agenda and to refocus services to meet the challenges faced by the Council and the city's wider public services	High Priority B1	Medium Priority (Red/Amber) D2	Christine Salter (Dean Thomas)	<b>Councillor Chris Weaver</b> Finance Modernisation and Performance
<b>21. Legal Compliance</b> Changes in services and staff roles across the Council resulting in: <ul style="list-style-type: none"> <li>gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> In each case leading to increased risk of challenges.  Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.	High Priority B2	Medium Priority (Red/Amber) D2	Davina Fiore	<b>Councillor Huw Thomas</b> Leader
<b>22. Education – Schools Delegated Budgets</b> Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools	High Priority A2	High Priority B2	Nick Batchelar (Neil Hardee)	<b>Councillor Sarah Merry</b> Deputy Leader & Education, Employment & Skills
<b>23. Fraud, Bribery and Corruption</b> Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.	High Priority B2	Medium Priority (Red/Amber) D2	Christine Salter (Ian Allwood)	<b>Councillor Chris Weaver</b> Finance Modernisation and Performance
<b>24. Workforce Planning</b> Importance of forecasting and planning to build capability and capacity for the future is not fully recognised and embedded.	High Priority B2	Medium Priority (Red/Amber) B3	Christine Salter (Philip Lenz)	<b>Councillor Chris Weaver</b> Finance Modernisation and Performance

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
<b>EVENT DRIVEN RISKS</b>										
<b>1. City Security</b>  Major security-related incident in the city as a result of international or domestic terrorism.	Service Delivery / Reputation / Legal / Financial / Health & Safety / Financial / Partnership / Community & Environment / Stakeholders  Potential for: <ul style="list-style-type: none"> <li>Large numbers of fatalities, injuries to public in crowded place.</li> <li>Extensive structural damage and/or collapse of surrounding buildings.</li> <li>Major fire.</li> <li>Damage/disruption to utilities (gas, electricity, water etc.)</li> <li>Immediate impact to businesses in the Cardiff area.</li> <li>Media coverage affecting public perception, leading to a loss of public confidence directly resulting in reduced business, retail and tourism revenues generated in the city.</li> <li>Area to be viewed as a risk for potential future business investment.</li> <li>Inability to attract major future national and international events (political, sporting etc.)</li> <li>Increase in demand for council services/support for all affected.</li> <li>Current economic climate to reduce the effectiveness of any recovery/regeneration of the area.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>All existing identified high risk; crowded places have been formally assessed.</li> <li>Some crowded places have an extremely limited and in some cases 'third party managed' access control process to operate them; providing little/no challenge.</li> <li>Crowded places have varying standards of boundary treatments protecting them; providing a limited/cursory visual deterrent but little/no protection from a hostile vehicle.</li> <li>CONTEST Protect/Prepare Task &amp; Finish Group maintains the City Gateways Public Realm Enhancement Scheme, with agreed options for suitable PAS 68/69 mitigation for appropriate boundary locations; referred to as 'gateways'.</li> <li>19 (38%) of the identified 'gateways' into the crowded places already benefit from PAS 68/69 mitigation in place, implemented as a direct result of Home Office (Crowded Places) and Olympic Legacy funding.</li> <li>The estimated cost for the procurement and installation of the PAS 68/69 mitigation and ancillary services is £3.6 Million.</li> <li>Work is ongoing with City Operations to advise developers across the city in relation to appropriate mitigation required.</li> <li>The Cardiff City Centre Access Control Protocol is currently operating at the heightened response level, reflecting the UK National Threat Level; permitting vehicles onto the pedestrianised areas within Cardiff City Centre using strict parameters.</li> <li>The Tabernacle Access Control Document is fully operational and sits and as an annex document to the main City Centre Access Control Protocol. It enables the Urban Traffic Control Officers to better manage Tabernacle 'users', covering their requirements whilst adhering to the existing Traffic Regulation Order.</li> <li>Wales Extremism and Counter Terrorism Unit (WECTU) Counter Terrorist Security Advisor's (CTSA's), the Emergency Services &amp; Cardiff Council provide Project Argus and EVAC/Griffin training across the city to raise awareness for likely impacts associated with major incidents and in particular, terrorist attacks. The sessions also cover the support likely to be immediately available from the emergency services and Cardiff Council, the practical and simple preparations people/organisations can make prior to incident occurring to help themselves manage and recover from its impacts.</li> <li>As the above shows, the work done in the city to address security concerns has been predominantly focused on the provision of physical assets to mitigate against the threat of hostile vehicles. Although this area remains important, a more holistic approach is needed to develop the city's response to and management of a wider range of potential threats. Construction /installation of the £1m of work to enhance the city's HVM scheme (match-funded by Welsh Government and Cardiff Council) has been completed, and will improve the protection of the City Centre public realm</li> <li>Improvement to Bay area partly completed (non PAS68 project)</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The CONTEST Protect/Prepare Group will continue to monitor and review the city's Hostile Vehicle Mitigation scheme to ensure it is fit for purpose until it is fully installed.</li> <li>The CONTEST Protect/Prepare Group will give a status report to the Cardiff CONTEST Board</li> <li>The CONTEST Board will continue to try to identify external funding sources/opportunities from Welsh Government and UK Central Government to conclude scheme and appropriately mitigate the risk.</li> <li>Protocol is currently being amended to cover further areas and HVM bollards are proposed to be fully operational by end October 2018</li> <li>The completed HVM scheme will improve the protection of the City Centre public realm but further funding will be required to conclude the protection of identified public realm.</li> <li>A holistic security strategy for the city is being developed through the city's CONTEST partnership mechanisms. This strategy will extend the perspective of the city's security beyond hostile vehicle mitigation to incorporate a range of security measures, including the continuing development and agglomeration of the city's CCTV and the deployment of new technological solutions</li> <li>Once the strategy has been completed it will provide a suite of costed business cases that will allow the continued incremental development of the city's security provision</li> <li>This in turn will allow partners to be more responsive to emerging funding opportunities</li> </ul>	<b>Christine Salter</b> (Joe Reay)  <b>&amp;</b>  <b>Andrew Gregory</b>  <b>Councillor Huw Thomas</b> Leader
<b>2. Welfare Reform</b>  That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform including: Universal Credit, further reduction in Benefit Cap, size restrictions for social tenants, removal of automatic entitlement to housing costs for under 21s and changes to funded for supported housing. Lack of information, short timescales for implementation and the large number of citizens affected makes these changes a significant risk.	<ul style="list-style-type: none"> <li>Private landlords stop renting to benefit claimants</li> <li>Social housing rents become unaffordable to some claimants, in particular those with large families.</li> <li>Increased homelessness and demand for temporary accommodation</li> <li>Increased rent arrears, increased evictions</li> <li>Redeployment / Severance for 140 benefits staff</li> <li>Changing demands on Council stock resulting in increased voids and/or undersupply of smaller properties.</li> <li>Barriers to building additional affordable housing</li> <li>Supported accommodation becomes unaffordable impacting on social services and vulnerable homeless clients.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Communities staff continue to work closely with private landlords and advice agencies to mitigate wherever possible the reduction in benefit.</li> <li>Discretionary Housing payments are being used to top up the benefit claims of those most affected by the changes and to pay rent in advance and bonds to help tenants to move accommodation where necessary.</li> <li>Timely information is being given to claimants to help them respond to the changes.</li> <li>A streamlined process is in place for re-housing tenants who need to downsize as a result of the social housing size restrictions. DHP is being used to pay removal costs and to cover shortfall while tenants are waiting to move.</li> <li>The Welfare Liaison team within the housing service is in place to assist tenants affected by the changes. Work has been carried out to identify those affected by the reduced Benefit Cap and to advise them accordingly and to identify the most vulnerable families and award DHP.</li> <li>Universal Credit full service has commenced in Cardiff. Despite additional resources put in place rent arrears for council tenants have risen significantly since the change was implemented.</li> <li>The council is currently providing face-to-face services on behalf of the DWP including digital inclusion and budgeting advice, however funding for this is being cut from March 2019 and will transfer to CAB.</li> <li>The Advice Hub in Central Library is providing comprehensive advice services for those affected by Welfare Reform and this is being rolled out across the city in Community Hubs and foodbanks.</li> <li>The Inclusive Growth Board and subgroups are working well in coordinating multi-agency activity and developing appropriate interventions during a difficult transition period for many people affected.</li> <li>Briefings continue to be provided to Members on Welfare Reform and further information is sent as appropriate.</li> <li>Digital inclusion training and banking support has been successfully implemented and will continue to be monitored.</li> <li>Into Work Services are providing services across the city and helping people get back to work with particular focus on those families affected by the benefit</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Further additional resource has been agreed for supporting council tenants following the implementation of Universal Credit Full Service as rent arrears have increased significantly, staff have been recruited to assist with this and the new team is working well. Rent arrears procedure has been reviewed to include a more preventative and flexible approach and more assistance for more vulnerable tenants. This will be monitored over the coming months.</li> <li>Work has been undertaken to cost the potential risks of Universal Credit and this will continue to be updated as the more information is known.</li> <li>Regular meetings are held with social housing providers to monitor and improve processes.</li> <li>DHP spend is being monitored carefully. Expenditure for 18/19 will continue focusing on the most vulnerable individuals, helping people with the transition into work and mitigating the risk of homelessness.</li> <li>Services for private landlords are being further developed to help prevent them withdrawing from the market.</li> </ul>	<b>Sarah McGill</b> (Jane Thomas)  <b>Councillor Lynda Thorne</b> Housing & Communities

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
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<p><b>3. Cyber Security</b></p> <p>Three of the eleven areas of a Cyber Security assessment underpinning the corporate risk have been identified as high risk as follows:</p> <ul style="list-style-type: none"> <li>Unsecure Configuration - unauthorised access, changes and exploitation to systems.</li> <li>Monitoring - inability to assess how and when systems are being used, leading to an ineffective response to deliberate attacks or accidental user activity.</li> <li>Corporate Cloud Security - 2016 Internal Audit identified contract, SLA and service management weaknesses in externally hosted services.</li> </ul>	<p>Reputational / Legal / Financial / Stakeholder / Service Delivery / Health &amp; safety</p> <p>The intent of cyber attackers includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>financial fraud;</li> <li>information theft or misuse,</li> <li>activist causes to render computer systems intolerable and to disrupt critical infrastructure and vital services.</li> </ul> <p>The impact of a cyber-attack / incident has the potential to involve the realisation of the risks associated with:</p> <ul style="list-style-type: none"> <li>An information governance breach (i.e. Stop Now Order, Information Notice, Enforcement Notice, Financial Penalty etc.)</li> <li>A business continuity incident – with a potential for major loss of service and legal, health and safety and financial implications.</li> <li>A financial / fraud related attack.</li> </ul> <p>A malicious attack could result in loss of confidence from those transacting with the Council (reputation), as well as legal, asset, system, operational and financial implications.</p>	A	1	High Priority	<p>The principal controls for the high risk areas are as follows:</p> <ul style="list-style-type: none"> <li>Secure Configuration - Established secure baseline and compliance standards with centralised policies to secure user environments.</li> <li>Monitoring - Minimal routine log analysis with incident reporting to ISB and discussed with IAO.</li> <li>Corporate Cloud Security - Maturing PIA &amp; CIA process used to assess risks to data and technology solutions.</li> </ul> <p>A cyber security maturity assessment is regularly reviewed against 11 risk factors following the National Cyber Security Centre approach (based on network security, user education and awareness, malware prevention, removable media controls, secure configuration, privileged accounts, incident management, monitoring, home and mobile working policy, risk management regime and corporate cloud security).</p> <p>The maturity self-assessment concludes that the Council has:</p> <ul style="list-style-type: none"> <li>strong malware prevention, user privileges and home and mobile working controls.</li> <li>adequate / mature risk management regime, network security, user education and awareness, removable media controls and incident management.</li> <li>a need for senior management team (SMT) to collectively assess the effectiveness of secure configuration, monitoring and corporate cloud security controls.</li> </ul> <ul style="list-style-type: none"> <li>The cyber security maturity assessment underpins this summary corporate risk and regular monitoring has commenced to drive risk-based prioritisation and actions.</li> <li>Escalated risks to SMT around secure configuration, monitoring and corporate cloud security controls to SMT and support for improvements agreed at the meeting.</li> <li>Risks monitored and escalated via Information Security Board as well as directorate management meetings and Senior Management Team (SMT).</li> <li>As part of improving user education and awareness, Information Asset Owners receive compliance reports relating to Bob's Business Data Protection training</li> <li>Privacy Impact Assessments which include Cloud Impact Assessments are in place.</li> </ul>	D	1	Medium Priority (Red/Amber)	<p>ICT and Information Governance (IG) Teams to continue to liaise with FM for physical security assurances and to promote an incident reporting culture.</p> <p>To enhance user education and awareness via Information Governance Seminars for each Directorate.</p> <p>To ensure strong ICT security, monitoring and cloud security controls:</p> <ul style="list-style-type: none"> <li>ICT lifecycle and notification targets are being monitored and managed through the 'ICT Platforms' risk actions.</li> <li>Collaboration between ICT and IG to develop and map current ICT system providers in phased development of an Information Asset Register.</li> <li>Privacy Impact Assessment / Cloud Impact Assessments to be reviewed to ensure compliance with the requirements of the General Data Protection Regulation (GDPR) Action Plan being managed by the Information Governance Team.</li> <li>Governance and management requirements to be formalised for periodic and systematic review of all ICT systems.</li> </ul> <p>SIRO to review / consider Cloud Infrastructure to ensure:</p> <ul style="list-style-type: none"> <li>Effective governance and management.</li> <li>Resource, risk appetite and outcomes required.</li> <li>Education of business systems owners in risk and management of cloud based services.</li> </ul> <p>Cyber Security Awareness training videos to be made available to council officers via e-learning portal. Key areas to be covered: GDPR; good password practice; internet security; scamming information and when to seek advice.cc</p>	<p><b>Christine Salter</b> (Phil Bear)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>4. Waste Management</b></p> <p>Failure to meet statutory recycling targets and deliver cost effective compliance with waste management legislation.</p>	<p>Financial</p> <ul style="list-style-type: none"> <li>penalties and loss of grant support</li> <li>continuing financial costs to service due to ongoing investigation</li> <li>accurate measuring, and meeting landfill tax contingent liability</li> </ul> <p>Legal &amp; Regulatory</p> <ul style="list-style-type: none"> <li>failure to comply with EU recycling waste directive,</li> </ul>	B	1	High Priority	<p>The foundations of the current controls (as documented at Q4 17/18) are within the Recycling Waste Management Strategy 2015-2018, located on the council's website: <a href="https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Documents/CAB%20Appendix%201%20-%20Recycling%20Waste%20Management%20Strategy%202015%20Eng.pdf">https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Documents/CAB%20Appendix%201%20-%20Recycling%20Waste%20Management%20Strategy%202015%20Eng.pdf</a></p> <p><b>Recycling Development:</b></p>	B	2	High Priority	<p><b>Recycling Development:</b></p> <ul style="list-style-type: none"> <li>Consultation of Waste &amp; Recycling Strategy 2018-2021 to be completed and presented to Cabinet. Actions from strategy to be part of programme monitoring for meeting recycling targets.</li> <li>Completion of In-Cab technology implementation &amp; training</li> <li>Glass trial pilot underway - to be reviewed and rolled out (see detail under Street Scene Projects)</li> <li>A targeted approach to education that is aligned with</li> </ul>	<p><b>Andrew Gregory</b> (Matt Wakelam)</p> <p><b>Councillor Michael Michael</b></p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
	<p>leading to sanctions, penalties or interventions</p> <p>Strategic/ Reputational</p> <ul style="list-style-type: none"> <li>reputational consequence with citizens and key stakeholders</li> </ul>				<ul style="list-style-type: none"> <li>The Cabinet has agreed a review of the Waste &amp; Recycling strategy 2015-2018 at its meeting on 15th May 2018, and the draft updated strategy for 2018-2021 has gone to consultation.</li> <li>Implementation of In-Cab and tachograph system has commenced, which will improve service delivery through real time technology, optimisation of routes and identification of waste contamination.</li> <li>The newly installed Auto Sorter for mixed plastics/ fibre products became operational (July 2018) and will improve processing efficiency, reduce rejects and increase recycling.</li> <li>Modelling has been undertaken on best option for managing co-mingled recycling issue, with twin stream concluded as best option</li> <li>Ongoing mgt of Cardiff Organic Waste Treatment contracts (Kelda/ Dwr Cymru) for an Anaerobic Digestion (AD) facility and Open Windrow Composting (OWC) facility to treat source-separated food and green/garden wastes respectively, over a 15 year period</li> <li>Education taking place across Cardiff with focus on key areas for recycling improvement.</li> </ul> <p><b>Wider Governance &amp; Compliance:</b></p> <ul style="list-style-type: none"> <li>Ongoing investigation in the Waste function has been robustly serviced, and is following a number of lines of enquiry, through which the governance process is being rigorously reviewed.</li> <li>A prudent valuation for a contingent landfill tax liability together with other potential impacts on the Council's accounts are in the process of being quantified with the support of external consultants (PWC), senior and specialist officers in the Council's accountancy function.</li> <li>Prosiect Gwyrdd (Cardiff Council in partnership with other L.A's) - ongoing mgt of contract over 25 years with Viridor, who will produce energy from the remaining 'black bag' waste which historically has gone to landfill, providing the best environmental, cost effective and practical solution for waste after recycling/ composting has been maximised (22% recycling from bottom ash)</li> </ul>				<p>enforcement to support the removal of contamination from the recycling stream. This may be in a blitz approach to target key areas of concern.</p> <ul style="list-style-type: none"> <li>Media campaign to promote/encourage removal of contamination from recycling material by citizens</li> </ul> <p><b>Wider Governance &amp; Compliance:</b></p> <ul style="list-style-type: none"> <li>Review the Waste Data Flow team resourcing to ensure it is sustainable and can provide information in a timely manner. Senior Management to work with WG on explaining the current position and the improvements being put in place</li> <li>Governance of Waste Data Flow to be reviewed and develop a senior management role within new structure, providing leadership in the area of Waste Data Flow.</li> <li>Introduction of improvements in weighbridge and data systems holding data on waste movements, to improve data management and ease collation of data.</li> <li>Senior Management to have regular engagement and discussions with WG on Cardiff's Waste Strategy and compliance with the WG Blueprint.</li> <li>Ongoing commitment to working with PWC and senior and specialist officers in the Council's accountancy function in relation to landfill tax contingent liability</li> </ul>	Clean Streets, Recycling and Environment
<p><b>5. Schools Organisation Programme (Band B)</b></p> <p>Very large scale Capital Programme – Band B (£284m) with tight timescales for delivery, in context of very rapidly growing primary age school population.</p>	<p>Reputational / Legal / Financial / Social / Stakeholder / Health &amp; safety.</p> <ul style="list-style-type: none"> <li>Insufficient secondary places in some central area of the City.</li> <li>Insufficient places in ALN settings across the City, leading to costly placement in out of county &amp; private settings.</li> <li>School Buildings that are not suitable for teaching and learning</li> <li>Further degeneration of school buildings &amp; rise in asset management backlog</li> <li>Three category "D" condition buildings, that are classed as end of life failing &amp; being closed with hundreds of displaced students across the City.</li> <li>Reducing educational standards.</li> <li>Risk that insufficient capacity in team to deliver the very large programme.</li> <li>Project cost and time overruns</li> <li>Risk that Welsh Government do not approve individual project funding if not satisfied with Business Cases.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>21st Century Schools Band B funding bid was submitted to Welsh Government in July 2017 and the Strategic Outline Case for £284m was approved in November 2017. Two Cabinet Reports in October and December 2018 outlined the priorities for this second phase of funding.</li> <li>Robust governance model, in line with Corporate Landlord being agreed.</li> <li>Arup report commissioned to look at Governance &amp; capacity issues within the SOP team, will report on recommendations to Cabinet in May 2018.</li> <li>Head Teachers &amp; Chairs of Governors of those schools involved in Band B briefed on process and timescales.</li> <li>Band B Delivery Group and School Development group formed internally to look corporately at issues including legal title, highways &amp; transportation and planning.</li> <li>Technical feasibility and design work underway with assistance from Mott McDonald and Stride Treglown architects.</li> <li>Finance preparing the capital profiles for submission to Welsh Government and to monitor draw down and spends.</li> <li>Strategic Estates Department commissioned to achieve capital receipts of £25m to assist in funding the capital programme.</li> <li>Developing an enhanced asset management regime for the three "D" category High Schools, Fitzalan, Cantonian and Willows, in order to ensure that they remain as safe teaching and learning environments until such time as the buildings are replaced.</li> <li>Developing a robust procurement strategy for this large scale programme.</li> </ul>	D	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>All risks are being monitored and reported to Band B Delivery Group.</li> <li>Formal Governance via a Schools Programme Board and Project Boards, being established.</li> <li>Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, ICT, planning and highways and transportation are available.</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development.</li> <li>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward.</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</li> <li>All risks are being monitored and reported to Band B Delivery Group.</li> <li>Formal Governance via a Schools Programme Board and Project Boards, being established.</li> <li>Strengthening of the capacity of the SOP team critical to ensuring effective delivery of the programme. This includes ensuring that corporate colleagues in departments including legal, strategic estates, ICT, planning and highways and transportation are available.</li> <li>Continued active dialogue with Welsh Government and other professional parties to support progress and development.</li> <li>Prioritise population data development to support accurate projections and forecasts for existing resident populations and to support effective s106 negotiations going forward.</li> <li>Ensure consistent monitoring and reporting of all risks to Schools Programme Board.</li> </ul>	<p><b>Nick Batchelar</b> (Janine Nightingale)</p> <p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>
<p><b>6. Business Continuity</b></p> <p>Large scale incident/loss affecting the delivery of services.</p> <p>The potential risk is that our most time sensitive activities are not sufficiently resilient and fail, following an incident which impacts on their delivery and that our incident management structure, used in response to internal incidents and external</p>	<p>Reputational / Legal / Financial / Stakeholder / Service delivery / Health &amp; safety</p> <ul style="list-style-type: none"> <li><b>Health and Safety</b> – potential impact on staff and on the public relying on our most, time sensitive, critical services.</li> <li><b>Legal action</b> -Failure of key services could lead to Legal action against the council.</li> <li><b>Financial</b> - Failure of key services could led to significant financial cost both in terms of Ombudsman action and Enforcement action from regulatory bodies as well as individual legal action against the corporate body where service failure leads to legal action against us from private</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>The Council has a BCM Champion who sponsors BCM at a strategic level and is actively supporting the BCM Programme.</li> <li>We have an approved Business Continuity Policy which is aligned to ISO22301.</li> <li>BCM Intranet web page.</li> <li>BCM toolkit is now available on CIS allowing all service managers to develop an appropriate BCM response for their services allowing future effective maintenance and audit. BCM workshops are available from the BC Officer on request.</li> <li>The Council has employed a Business Continuity Officer (appointed October 2010). The officer is a qualified ISO22301 lead auditor.</li> <li>The Emergency Management Unit has developed an Incident Management Plan (Cardiff Councils Emergency Management Plan) to ensure alignment with</li> </ul>	D	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>The BC Officer is working closely with Facilities Management to ensure they have effective plans in place to help manage possible business disruptions to our core buildings.</li> <li>Work with ICT to ensure our core infrastructure is as resilient as practical to support a resilient and effective delivery of essential ICT services and the effective planning for recovery of critical IT services after an incident that affects our IT.</li> <li>The Emergency Management Unit are planning a piece of partnership work with ICT to support areas that provide red activities in assessing the impact the loss of technical services, and ensuring suitable mitigation is in place to</li> </ul>	<p><b>Christine Salter</b></p> <p><b>Councillor Huw Thomas</b> Leader</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
emergencies, also fails in response to an incident	<p>claimants.</p> <ul style="list-style-type: none"> <li>• <b>Reputational</b> - Impact on key services to the public could lead to significant reputational damage to the organisation.</li> <li>• <b>Stakeholder</b> – Impact on key stakeholders as result of failure.</li> <li>• <b>Service delivery</b> – Potential significant impact on service delivery to the public, impact of key services could lead to significant impacts to the public and the corporate body un delivering its services.</li> </ul>				<p>ISO22301 this has been distributed to all Directorates.</p> <ul style="list-style-type: none"> <li>• The Council has a 24-hour Incident Management structure for Gold and Silver Officers.</li> <li>• The Red and Amber activities were last reviewed in July 2014. The BCM Champion presented a report to the SLT on the position on all the Red and Amber activities. Directors, Assistant Directors and Chief Officers were tasked with ensuring that their Red and Amber activities had business continuity plans produced and audited by the end of 2014/2015.</li> <li>• A partnership approach between the Emergency Management Unit and the Corporate Risk Steering Group is helping to raise awareness and drive forward the BCM programme.</li> <li>• 71 % of our most time sensitive activities (Reds) now have Business Continuity plans which have met, or are going through, audit. Work on the remaining plans is ongoing to close gaps and bring them up to date and in line with the corporate audit requirement</li> <li>• 26 % of our Amber activities now have business continuity plans which meet the business continuity audit requirement.</li> <li>• Cardiff Council is a member of the Core Cities Business Continuity Group and has been for the last 9 years. This membership allows the sharing of best practice and joint initiatives between group members.</li> <li>• The Business Continuity Officer has been working closely with the procurement section of Resources to ensure that the resilience of suppliers is considered carefully when procuring services which are important to our most time sensitive activities, our Red and Amber activities.</li> <li>• Internal Audit conducted an audit of the Business Continuity Risk in the first 2 quarters of 2015 / 2016 a briefing note has been issued to SLT on the current position and actions moving forward to further enhance our organisational resilience.</li> <li>• The BC Officer is actively supporting the development of an appropriate Threat and Response Policy to support council security arrangements.</li> <li>• The Business Continuity corporate risk has just gone through a further Internal Audit review and the BC Officer has worked closely with Internal Audit to provide them with the support, evidence, and guidance needed to allow them to review this risk.</li> <li>• The Corporate Emergency Management Plan was fully revised and updated in March 2017. The Corporate Incident Management structure and Emergency Management Plan, and the Corporate recovery plan were exercised and validated in a corporate wide exercise on the 29th of March 2017, this exercise also provided an opportunity for individual Business Continuity plans to be activated.</li> <li>• The Corporate Incident Management structure which is a critical piece of our business continuity work was successfully implemented during the Uefa Cup Final in 2017.</li> <li>• The Corporate Incident Management structure and many individual team Business Continuity Plans were tested in the two extreme snow events of March 2018, the value of the incident management structure and the business continuity work was recognised in the outcomes of the structured debrief following the two snow incidents.</li> </ul>				<p>make our red services more resilient, where this is possible.</p> <ul style="list-style-type: none"> <li>• Work with the teams involved with looking at the potential of using alternative delivery models for council services. Identifying risks associated with alternative delivery models for specific services and recommend potential risk management solutions for implementation, to protect the delivery of our most critical services.</li> <li>• The Business Continuity Officer is working to develop and enhance individual Directorate response capability to ensure Directorates are in a stronger position to respond to incidents which could impact on the Council and our most time sensitive activities.</li> <li>• The Business Continuity Officer is proposing working closely with Education and Life Long Learning to support them in developing a school specific Business Continuity Plan template to enhance schools resilience capability.</li> <li>• The Emergency Management Unit propose enhancing our wider Business Continuity and Resilience work through the development of a separate but council hosted and developed EVAC Cardiff website, building on the strength of our existing EVAC Cardiff work which will support our main resilience work streams, building on the success of the EVAC Cardiff APP. This will complement our existing work with partner agencies in this area and aims to support the wider public in being more aware and empowered around their own and their community's resilience. This work should be complete by end of Quarter 2 2018/2019.</li> <li>• The BC officer is leading a review of 4x4 resources across the council to support our response capability to future winter storms.</li> </ul>	
<b>ONGOING RISKS</b>										
<p><b>7. Statutory (building, installation &amp; equipment) Maintenance</b></p> <p>RAMIS holds statutory obligations across the estate and is the central system for uploading of certificates and identifying and closing down remedial actions.</p> <p>The risk from statutory inspections lies with the cost of the remedial works which are required to maintain the premises, installation, equipment in a safe and legally compliant condition. However, the visibility provided by RAMIS allows accurate evaluation of risk and targeting of funds available.</p>	<p>Potential consequences of non-compliance with statutory maintenance:</p> <ul style="list-style-type: none"> <li>• Fatalities or serious injuries</li> <li>• Closure of part or whole of facilities with major disruption to service delivery</li> <li>• HSE interventions and consequential actions including fines and prosecution;</li> <li>• Significant additional expenditure requiring realignment of Corporate budgets;</li> <li>• Temporary relocation of staff</li> <li>• Temporary loss of operational service</li> <li>• Invalidation of insurance policy</li> <li>• Serious adverse impact on reputation</li> <li>• Damage to fabric of building or other equipment</li> </ul>	<b>A</b>	<b>1</b>	<b>High Priority</b>	<p>Contractor</p> <ul style="list-style-type: none"> <li>• Statutory Planned Preventative Maintenance (PPM) undertaken by competent contractor. Consequential remedial work identified on test certificates.</li> <li>• Improved statutory maintenance contracting arrangements in place in Qtr 1 Inc. use of SFG 20 as specification for statutory obligations testing and new risk based specification for legionella management supported by RAMIS.</li> <li>• FM competent person(s) review all test certificates, remedial work captured and communicated to client as necessary/applicable.</li> </ul> <p>RAMIS IT Software</p> <ul style="list-style-type: none"> <li>• RAMIS implemented across the Council with bi-monthly reporting on statistics to SMT;</li> <li>• 200 Building Managers have received training in their responsibilities and use for the RAMIS system, including schools estates staff and Headteachers.</li> <li>• Full time officer Administrating RAMIS, providing training and issuing reports from the system to all service areas to push compliance ratings up to a minimum of 80% set by SMT.</li> <li>• RAMIS has been embraced by Service Areas and will ensure that the Council is aware of compliance position on any given asset to avoid any risks to building users and the organisation.</li> </ul> <p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> <li>• Electrical Safety Policy Implemented by H&amp;S.</li> <li>• Electrical testing and works monitored/supervised by qualified internal staff.</li> <li>• Electrical certificates received and reviewed by qualified internal staff.</li> <li>• C1/C2 electrical remedial works identified through testing dealt with appropriately and immediately by contractor undertaking electrical works.</li> <li>• PPM Certificates uploaded to RAMIS.</li> <li>• Spreadsheet database recording property holdings and the status of statutory</li> </ul>	<b>B</b>	<b>2</b>	<b>High Priority</b>	<p>Contractor</p> <ul style="list-style-type: none"> <li>• Strengthen monitoring and supervision of contractors undertaking statutory PPM and works. (David Lowe)</li> <li>• Train all statutory maintenance contractors in the use of RAMIS in order for test certs to be uploaded directly to the system by contractors. (Donna Jones)</li> <li>• Establish a contractor Forum for RAMIS to meet 6 monthly following training. (Donna Jones)</li> </ul> <p>Statutory Obligation Compliance</p> <ul style="list-style-type: none"> <li>• Continue to commission investigations / work to complete required compliance testing (and works required) in respect of 'gaps' in compliance identified by reports from RAMIS. (Donna Jones / David Lowe)</li> <li>• Implement new in-house Statutory Obligations Team to manage the undertaking of the statutory obligations surveys/work across the Council. (David Lowe)</li> <li>• Complete the mandatory Building Managers sessions to ensure that all Council building Duty Holders have a clear understanding of their statutory obligations compliance responsibilities (by end of Qtr 2) (Donna Jones)</li> <li>• Continue with the conditions surveys of the non-domestic buildings (complete 18/19). (Helen Thomas)</li> </ul> <p>Landlord / Occupancy Agreement</p> <ul style="list-style-type: none"> <li>• Complete Landlord/Occupancy Agreement template and roll out Qtr2/3 18/19. This will set out principle occupant and landlord permissions responsibilities and Permission for Works arrangements required. (Helen Thomas)</li> </ul>	<p><b>Neil Hanratty</b></p> <p><b>Councillor Russell Goodway Investment &amp; Development</b></p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
				High Priority	<p>obligation compliance across entire Council estate integrated into RAMIS.</p> <ul style="list-style-type: none"> <li>• Currently reporting on RAM comprises of compliance against 5 main high risk disciplines;</li> <li>• Gas Safety</li> <li>• Fire (all disciplines)</li> <li>• Legionella (Risk Assessment and water quality checks)</li> <li>• Fixed electrical systems</li> <li>• Top slicing of schools budget to cover the five high-risk disciplines, under review to ensure sufficient funds are available.</li> </ul> <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> <li>• Corporate Landlord Model Programme Brief approved by the Programme Board – objective to create one point of contact in the Council to lead on all property matters across the Council's estate.</li> <li>• Implementation of the Corporate Landlord Programme commenced 2017/18.</li> </ul> <p>Conditions Survey of Non Domestic Buildings</p> <ul style="list-style-type: none"> <li>• This work is ongoing through 2018/19.</li> </ul> <p>Client Liaison Officers</p> <ul style="list-style-type: none"> <li>• Client Liaison Officers have impacted positively on building relationships between with schools and other customers/clients, in particular the management/commissioning of statutory obligations and PPM.</li> </ul>				<p>Schools Building Maintenance</p> <ul style="list-style-type: none"> <li>• Update handbook detailing roles and responsibilities for safe management and maintenance of school premises, plant and equipment has been consulted with schools and unions, revised draft to be issued in Quarter 2. (Donna Jones)</li> </ul> <p>Corporate Landlord Programme</p> <ul style="list-style-type: none"> <li>• Development and implementation of the new corporate management structure to deliver a corporate Landlord</li> </ul>	
<p><b>8. Air Quality (&amp; Clean Air Strategy)</b></p> <p>Poor air quality is the most significant environmental determinant of health.</p> <p>UK Government has placed the improvement of Air Quality very high on their agenda and it has been made clear that they consider the responsibility for addressing the issue is at the door of Local Authorities.</p> <p><i>(The UK and devolved governments have a legal obligation to achieve nitrogen dioxide (NO2) annual average limit value (40ug/m3 AA) as set out in the EU Ambient Air Quality Directive (2008/50/EC) in the shortest possible time, and their continued failure to meet this has been subject to a number of legal challenges.</i></p> <p><i>(Cardiff does not comply with legal standards of NO2, and the primary source of the pollution is road transport emissions, particularly diesel vehicle emissions. Cardiff currently falls short of the required limits and although improvements are being seen, non-compliance of the legal limits is projected beyond 2020.)</i></p>	<ul style="list-style-type: none"> <li>• Inability to secure funding to undertake full feasibility study through to implementation of mitigation measures</li> <li>• The timescale for completing the technical work on compliance of nitrogen dioxide limits required under the direction from Welsh Government is extremely challenging</li> </ul> <p>Consequence: No improvement to air quality, leading to:</p> <ul style="list-style-type: none"> <li>• Legal &amp; Regulatory / Financial <ul style="list-style-type: none"> <li>- breach of legal / statutory requirements</li> <li>- Potential significant financial penalty</li> </ul> </li> <li>• Health &amp; Safety <ul style="list-style-type: none"> <li>- No improvement to health</li> <li>- Increased burden on health care</li> <li>- Further deterioration of related health conditions</li> </ul> </li> </ul>	A	1	High Priority	<p><b>Monitoring</b> - Cardiff have 4 existing declared 4 Air Quality Management Areas (AQMA's) all as a result of elevated NO2 concentrations resulting from road traffic emissions.</p> <p><b>Development of a Clean Air Strategy:</b> A draft strategy has been developed which outlines the strategic measures required to address the air quality issues in Cardiff, summarised as follows:</p> <ul style="list-style-type: none"> <li>• LDP Policies adhered to (KP18, EN13), Develop and finalise relevant SPG to improve AQA, additional relevant SPGs</li> <li>• Transport strategy- reducing congestion, Car clubs, 20mph zones, changing behaviours</li> <li>• Active Travel Improvements - increase Cycling and Walking</li> <li>• Public Transport Improvements - Buses, Metro, Trains, school travel plans, behaviours</li> <li>• Increase EV infrastructure, alt fuels (H2), fleet changes (CCC to lead), industry change, influence behavioural change. Non idling zones, parking permit reform, taxi policy review.</li> </ul> <p>Cardiff's Transport &amp; Clean Air Green Paper 'Changing how we move around a growing city' has also been developed and consulted on.</p> <p><b>WG Direction:</b> Following the receipt of the Formal Direction from Welsh Government a Cabinet Report titled Air Quality – Welsh Government Direction was submitted and approved by Cabinet on 28th March 2018. The initial proposal setting out the case for change was submitted to Welsh Government on the 28th March 2018 to meet the requirement to submit before the 31st March 2018. This included the identification of governance, associated resource requirements, the scope of work, procurement approach, indicative costing's and timeline.</p> <p><b>A number of Active Travel and Transport mitigations have already been implemented:</b></p> <ul style="list-style-type: none"> <li>• 20 mph zones in Cathays, Gabalfa, Canton and Riverside</li> <li>• Launch of bike hire scheme and installation of 250 Next Bikes in the city centre, with usage uptake extremely positive</li> <li>• Car free day to promote active and alternative travel</li> <li>• Active Travel improvement schemes at various locations, to enable and promote safe and sustainable travel to school etc</li> <li>• A4119 Ph 2b Bus priority measures at Cathedral Rd</li> <li>• Pilot of segregated cycle lane at Maes y Coed Rd</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>• The ANPR survey has been completed and data analysed.</li> <li>• Consultants for both Air Quality and Traffic Modelling have been procured.</li> <li>• Work is ongoing to establish the baseline position for Cardiff utilising the ANPR data and transport model - projected for completion by end July 18.</li> <li>• Measures are being analysed and analysed to be utilised for air quality modelling and submission into the feasibility plan by the end of September / October 2018. – ongoing</li> <li>• The outcomes of the Transport &amp; Clean Air Green Paper consultation will be used alongside the feasibility study outcomes to inform the development of a White Paper on Transport and Clean Air, to be published in the autumn.- ongoing winter</li> <li>• ongoing development and implementation of programme of active travel and transport improvements</li> <li>• further modelling of NS movements now required following base line modelling results</li> </ul>	<p><b>Andrew Gregory</b> (Gary Brown)</p> <p><b>Councillor Caro Wild</b> Strategic Planning &amp; Transport</p>
<p><b>9. Education Consortium &amp; Attainment</b></p> <p>The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>• Budget implications.</li> <li>• Educational standards falling behind other LA's.</li> <li>• Potential impact on Estyn judgement for LA.</li> <li>• Intervention from WG</li> </ul>	B	2	High Priority	<p>There have been continuous improvements in nearly all the outcome indicators at all key stages, although the performance of a few of Cardiff secondary schools is still a significant concern. The work of the school improvement service commissioned from the regional consortium is now based on clear priorities and a good understanding of Cardiff schools. Cardiff schools are being challenged more rigorously and supported more effectively to improve.</p> <p>A Secondary Senior Challenge Adviser with well-developed knowledge and skills to build on the progress made to date has been appointed on an interim basis. There is a new Primary Senior Challenge Adviser in post.</p> <p>The Schools Causing Concern processes have been revised in partnership with the Consortium and the Local Authority. The systems and processes to secure improved joint service delivery is now in place, with regular meetings calendared</p>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>• Officers will continue to ensure the agreed commissioning arrangements are refreshed and delivered and impact positively on the performance of schools.</li> <li>• A comprehensive review of the Local Authority annex is underway to ensure it is closely related with the priorities contained within the Education Directorate Delivery Plan 2018-2019.</li> <li>• Local Authority officers and members of the Consortium have already identified the need to commission more comprehensive support for Governors and support for Federations.</li> </ul>	<p><b>Nick Batchelar</b> (Angela Kent)</p> <p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					<p>with the Assistant Director and the Senior Challenge Advisers, Primary and Secondary.</p> <p>There is a strong working relationship between the local authority and the regional consortium. The local authority has moderated the outcomes of categorisation, in partnership with the regional consortium. This has led to a more accurate view of school performance, an improved model of differentiated support and challenge, and earlier intervention in schools causing concern. Through school improvement meetings, challenge advisers are developing a better understanding of the role that wider services in the local authority play in improving schools.</p> <p>A number of Cardiff schools have been appointed as Pioneer Schools to develop the new curriculum over the next three years in line with "Successful Futures".</p> <ul style="list-style-type: none"> <li>• The 2018/2019 delegated budget allocations were issued to schools in early March 2018 and monitoring arrangements put in place for those schools showing financial concern.</li> <li>• Officers from Education and Financial Services have started to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.</li> <li>• The previous fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position</li> <li>• Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>• Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable.</li> <li>• Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools</li> <li>• For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school.</li> <li>• Individual school budget monitoring positions reported to Education Management Team on a quarterly basis</li> <li>• Officers have exercised the statutory powers of intervention in three secondary school governing bodies which is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans.</li> <li>• School Budget Forum has agreed a revised protocol for responding to schools in deficit and this needs regular review with a tightening on the number of deficit budgets accepted. This has been reflected in the harder message contained within the 2018/19 school budget letters and the 2018/19 Budget Report.</li> <li>• Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance.</li> <li>• The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 17/18 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May.</li> <li>• The Council will also introduce an increased level of scrutiny of school curriculum plans through support identified with the Central South Consortium.</li> </ul>					

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<p><b>10. ICT Platforms Unsuitable/Outdated</b></p> <p>The ICT platforms (desktop, software, network, servers, and telephones) will not be able to support the technologies required by the corporate change programme and deliver effective service to the council, or will not provide a reliable service due to age and condition of equipment and systems.</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Loss of PSN services.</li> <li>Service delivery impacts from unreliable/unavailable ICT systems</li> <li>Cardiff seen as unable to deliver on aspirations</li> <li>Poor morale from frustrations with inability to deliver services.</li> <li>Potential for income losses from revenue collection impacts.</li> <li>Unable to meet delivery deadlines on both business as usual and transformation projects.</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth.</li> <li>New system down analysis process in place to ensure that key pressure points are rapidly identified and fixed at minimum cost until full programme can be initiated. Recent issues with telephony have resulted in retargeting of some resources to focus on weak points now identified.</li> <li>New deliveries are all being designed for a 99.99% minimum uptime, with critical systems targeted at 99.999% (equating to less than 6 minutes per year).</li> <li>Active projects underway and the current aged file storage solution have been replaced and cloud based storage for additional resilience and flexibility is being assessed. Other projects underway to replace many of the core older back end servers.</li> <li>Corporate file storage systems replaced and new disk to disk backup option installed to improve performance and resilience.</li> <li>Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced.</li> <li>Additional load balancers to be purchased for application resilience in key systems.</li> <li>Full renewal programme for all desktop, software, network, servers, and telephones, appropriate to Cardiff's ambitions and resources.</li> <li>Continued assessment of priorities for replacement – applications infrastructure and servers are the next priority.</li> <li>Completed refresh of existing SAP, thin client and virtual server farms.</li> <li>Assessment of equipment required replacing to maintain PSN compliance.</li> <li>Further revenue and capital investment in 2018-20.</li> <li>Completed migration of VM infrastructure over to Pure Storage.</li> <li>Completed migration of users from old remote access service to new solution.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Development of lifecycle monitoring and clearer customer engagement.</li> <li>Pilot leasing scheme within schools to be considered for corporate desktop estate.</li> <li>Breakdown of costs to remediate to be generated and reviewed. To include workstation replacement costs, supporting network infrastructure and server infrastructure.</li> <li>An in depth review of this risk is ongoing and the outcome will inform further mitigation.</li> </ul>	<p><b>Christine Salter</b> (Phil Bear)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>11. Safeguarding</b></p> <p>Systemic failure in the effectiveness of the Council's safeguarding arrangements together with other statutory safeguarding partners. Failure to comply with Court Orders.</p>	<p>Reputation / Financial / Stakeholders / Service delivery / Legal / Partnership / Community</p> <ul style="list-style-type: none"> <li>A child/ren or adult/s suffers avoidable significant harm or death.</li> <li>Reputation of Council and partners.</li> <li>Severe adverse publicity.</li> <li>Potential regulator intervention.</li> <li>Loss of confidence by the community in the safety of children and adults.</li> <li>Loss of confidence of staff in the overall "safety" of the service, impacting on morale, recruitment and retention.</li> <li>Potential litigation with associated financial penalties</li> </ul> <p>In addition to the above:</p> <ul style="list-style-type: none"> <li>Being held in contempt of court</li> <li>Imprisonment</li> <li>Unlawful detention of persons</li> <li>Payment of costs/damages</li> <li>Professional reputation of staff</li> <li>Recruitment problems</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Embedding the Social Services &amp; Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding.</li> <li>Strategic review of safeguarding governance across the region completed in partnership with the Vale of Glamorgan Council.</li> <li>Strategic review of the functioning of the Regional Safeguarding Adults Board completed.</li> <li>Ongoing implementation of the Child Sexual Exploitation Strategy.</li> <li>Implementation of the Corporate Safeguarding Board work programme.</li> <li>Growth proposals for operational safeguarding capacity included in 2017/18 budget.</li> <li>Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write.</li> <li>Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy.</li> <li>Draft Annual Plan for Regional Adults / Childrens Safeguarding Board.</li> <li>WG convened training for authorised officers to undertake APSO Training.</li> </ul>	D	1	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Embedding the Social Services &amp; Wellbeing (Wales) Act 2014 in relation to the strengthening of adult safeguarding.</li> <li>Strategic review of safeguarding governance across the region completed in partnership with the Vale of Glamorgan Council.</li> <li>Strategic review of the functioning of the Regional Safeguarding Adults Board completed.</li> <li>Ongoing implementation of the Child Sexual Exploitation Strategy.</li> <li>Implementation of the Corporate Safeguarding Board work programme.</li> <li>Implementation of the Corporate Safeguarding Board work programme.</li> <li>Growth proposals for operational safeguarding capacity included in 2017/18 budget.</li> <li>Cardiff Council hosting the All Wales Adult and Child Protection Procedure re-write.</li> <li>Raising profile of Adult Sexual Exploitation (ASE) in Adult Services in line with the Child Sexual Exploitation (CSE) Strategy.</li> <li>Draft Annual Plan for Regional Adults / Childrens Safeguarding Board.</li> <li>WG convened training for authorised officers to undertake APSO Training.</li> <li>Regular performance monitoring meetings with Childrens' Social Services have been arranged. Process and escalation procedures agreed for Childrens work, to be agreed with adults.</li> </ul>	<p><b>Sarah McGill &amp; Claire Marchant &amp; Davina Fiore</b></p> <p><b>Councillor Huw Thomas</b> Leader</p> <p><b>Councillor Susan Elsmore</b> Social Care, Health &amp; Well-being</p> <p><b>Councillor Graham Hinchey</b> Children &amp; Families</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>12. Financial Resilience</b></p> <p>Failure to deliver a balanced annual budget and a fully informed Medium Term Financial Plan which would significantly weaken the financial resilience of the Council.</p> <p>The current outlook is that there is a Budget Gap of £91 million for the period 2019/20 to 2021/22.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Risk of failing to meet statutory obligations.</li> <li>Risk that service delivery impacted due to uncertainty in the budget planning process resulting in decreasing resources or failure to effectively prioritise spend in line with Corporate Plan Objectives.</li> <li>Risk that settlement figures will not be as anticipated giving an element of uncertainty to any proposals from Cabinet during public consultation and beyond.</li> <li>Risk that savings identified as part of business as usual and efficiencies have not been robustly reviewed for achievability and will not deliver as planned.</li> <li>Risk that financial constraints and budget proposals result in unintended consequences such</li> </ul>	A	1	High Priority	<p><b>2019/20 and Medium Term</b></p> <ul style="list-style-type: none"> <li>The Council has a Financial Resilience Mechanism of £4m, which will be put into operation in the event of the Budget Settlement being 1% worse than expected. This mechanism avoids the need to identify additional directorate savings at short notice and allows time to be allocated for greater level of savings to be delivered.</li> <li>The final 2018/19 Budget was underpinned by Directorate Savings of £14.296m, Use of earmarked Reserves £2.35m and Council Tax at 5%. Robust Monitoring mechanism will consider Month 3 position in order to inform the first Cabinet report in September 2018.</li> <li>The MTFP set out in the 2018/19 Budget Report and now highlights an estimated Budget Reduction Requirement of £91.403m for the medium term (2019/20-2021/22)</li> <li>2019/20 Budget Strategy considered at Cabinet on 5 July 2018. Potential budget proposals being developed by Directors and being shared informally with Cabinet for further consideration over the summer period.</li> <li>Close working with Policy team in respect of alignment with Corporate Plan and duties under Wellbeing of Future Generations Act.</li> <li>Budget Proposals supplemented by work in partnership with Chief Digital</li> </ul>	B	2	High Priority	<p><b>2019/20 and Medium Term</b></p> <ul style="list-style-type: none"> <li>Work continues to ensure a set of proposals come forward for 2019/20 and the medium term, which provides a level of assurance that the budget gap for the medium term can be risk managed and bridged.</li> <li>Continue the work that has commenced in respect to developing proposals for 2019/20, 2020/21 and the Medium Term. This will include alignment with the Digital Board, Service Review board and Senior Management Team. Provisional Settlement to be issued by WG on 9 October 2018 and work will be undertaken to review and refresh the budget assumptions in respect to 2019/20 and the Medium Term.</li> <li>Budget work will also need to link in with the demands of the Wellbeing of Future Generations Act as well as building on further work to ensure greater visibility of engagement with Cardiff citizens through events and the Ask Cardiff Survey.</li> <li>Continue to maintain close alignment with objectives of the Corporate Plan and the Capital Ambition Delivery Team in order to ensure resources are allocated appropriately and</li> </ul>	<p><b>Christine Salter</b> (Ian Allwood)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
	<p>as increased instances of non-compliance and financial impropriety.</p> <ul style="list-style-type: none"> <li>Risk that annual budget settlement frustrates medium / longer-term planning and that the cycle does not integrate with other business cycles and vice versa.</li> <li>Risk that Medium Term Savings are not identified in a coherent, strategic way which impacts on service delivery.</li> <li>Risk of unbalanced budget as savings required over the medium term become harder to achieve and their impact on service delivery more difficult to manage.</li> <li>The risk that the Council will not be able to react to adverse situations through a combination of poor imprudent planning and significant challenges such as increasing demands for services such as social services, education, roads etc.</li> <li>The risk is that the Council will not be able to operate within the financial funds available to it and fail in its statutory duty to deliver services.</li> <li>The risk of financial intervention and increasing adverse impacts on the community of Cardiff that rely on the services being delivered by the Council</li> </ul>				<p>Officer and a roll out of focussed Service Reviews in order to identify savings. Further diligence in respect to the rating of risk of each saving proposal but the responsibility for detail and achievability remains with the directorate.</p> <ul style="list-style-type: none"> <li>The Council regularly reports in relation to its financial performance and monitoring.</li> <li>The Wales Audit Office identified that the Council has a transparent and effective savings approach which supports financial resilience being achieved.</li> <li>A financial snapshot is used to report the financial resilience of the Council and is reviewed 3 times a year and reported at Budget Report (Feb 18), Budget Strategy (Jul) and to Audit Committee.</li> </ul>				<p>that longer term financial savings are developed in enough time to be realised in the medium term.</p> <ul style="list-style-type: none"> <li>Continue to refresh assumptions at key stages as relevant information becomes available.</li> <li>Key stakeholders are briefed on this position and financial triggers against this snapshot continue to be developed and reviewed.</li> <li>Work in respect of improving savings plans continues in order to increase the % of savings proposals accepted that deliver. The key focus is due diligence, challenge and development of detailed plans but with an emphasis and accountability to the directorate which proposed the saving. Savings documentation has also been reviewed and developed with the aim of ensuring consideration and capture of key factors relating to savings proposals.</li> <li>Links between the MTFP, CADP, Service Plans and Improvement Plans continue in order to further build on work already undertaken in the Budget Strategy Work Programme.</li> </ul>	
<p><b>13. Budget Monitoring (Control)</b></p> <p>Failure to achieve the budget set, inclusive of budgeted spend and savings across Directorates, with increased use of emergency finance measures and the drawdown of reserves.</p>	<ul style="list-style-type: none"> <li>Inability to balance spend, against budget, for the financial year.</li> <li>Requirement to implement emergency measures to reduce spending during the financial year thus adversely impacting on ability to meet corporate plan objectives.</li> <li>Requirement to drawdown from General Reserves at the year end.</li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Clear financial procedure rules setting out roles and responsibilities for budget management are in place.</li> <li>In recognition of the quantum of savings and the risks posed a £3 million General Contingency was allocated in the Budget.</li> <li>In the event of an emergency there is the availability of General Reserve should this be required.</li> <li>The final 2017/18 outturn showed a balanced position. However this included an overspend of £4.982m in relation to directorate budgets with shortfalls of £2.854m against 2017/18 savings targets and £2.195m against shortfalls carried forward from 2016/17.</li> <li>The Corporate Director of Resources, Chief Executive and Cabinet Members regularly hold challenge meetings and these will continue for 2018/19 in all areas both to address shortfalls against budget proposals accepted but also the overall financial position of each directorate.</li> <li>Full financial monitoring processes is in place for month 3 to 11 of the financial year including achievement of budget savings with months 3 to 10 completed.</li> <li>The balance of any 2015/16, 2016/17 or 2017/18 savings targets were discussed as part of the budget process and a limited amount were written off. The majority of the previous year budget proposals continue to be deemed as achievable going forward by the respective Director. The 2016/17 and 2017/18 savings proposals will be monitored as part of the 2018/19 budget process</li> <li>SMT discussed those overspend areas (not as a result of saving proposals not being delivered) of 2017/18 in order to provide assurance of mitigations in place for 2018/19</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The balance of any 2016/17 or 2017/18 savings targets designated as not being achievable have been provisionally allocated and will continue to be reviewed as the 2018/19</li> <li>Continue regular review and challenge sessions in order to provide assurance of financial monitoring position during the year.</li> </ul>	<p><b>Christine Salter</b> (Allan Evans)</p> <p><b>Councillor</b> <b>Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>14. Performance Management</b></p> <p>After considerable progress in both developing the way the organisation manages performance and in actual performance improvement, there is a need to focus on ensuring Performance Management practices are mature, embedded and consistently applied as the organisation looks to continue improving outcomes in the face of significant financial pressures.</p>	<p>Reputational / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>The strategic and corporate level changes do not have the intended impact because they are not fully embedded in operational practices.</li> <li>Council unable to accelerate performance improvement as planned/desired.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council's improved approach to the way it manages its performance was recognised by the Wales Audit Office's follow-on report, but it is also clear there is more work to be done to build on the success achieved so far. A Performance Management programme has been put in place to deliver the required change to address three key areas relating to Reporting, Planning and Challenge.</li> <li>The project teams have ensured their work incorporates the requirements of The Well-Being of Future Generations Act 2015, and the managed transitions between the Local Government (Wales) Measure 2009 and the requirements of the new legislation.</li> <li>Increasing the transparency with which we manage our performance</li> <li>The Self-Assessment process has been established and fed into the SMT Corporate Plan workshop which identified high level key themes that link the Wellbeing &amp; Future Generations Act.</li> <li>Consistent RAG ratings have been agreed and developed for Corporate Plan commitments</li> <li>A consistent RAG methodology has been developed to enable a mathematical approach be applied to performance indicators</li> <li>Directorate scorecards were introduced for the Quarter 2 performance report and presented to PRAP, these were well received and will continue to be used and developed</li> <li>PSG (Performance Support Group) has been established. This group reviews the Quarterly Performance Report to identify where and how performance can be improved. The group also identify areas for further discussion at SMT</li> <li>Wellbeing objectives have been developed in line with the Corporate Plan development timeline and endorsed by SMT and presented to informal cabinet</li> <li>A target setting process and pro forma has been developed to support the use of appropriate measure and accurate targets in the Corporate Plan and Directorate Delivery Plan</li> </ul>	D	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Ongoing work continues to launch and embed the PMF, work has been undertaken with Comms to align the PMF with the Capital Ambition Branding</li> <li>New governance structures have been put in place to ensure Performance Management continues to be embedded across the organisation, including regular meetings of SMT to look at Assurance matters, and the formation of a Cabinet-level group that will look at performance holistically.</li> <li>Engagement work being undertaken with SMT regarding Performance Management</li> </ul>	<p><b>Christine Salter</b> (Joe Reay)</p> <p><b>Councillor</b> <b>Chris Weaver</b> Finance Modernisation and Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
					<ul style="list-style-type: none"> <li>A new Directorate Delivery Plan template has been developed which also incorporates the Future Generations requirements and the 5 ways of working. This has been presented to PSG and the template has been endorsed by SMT</li> <li>Reporting scorecards have been trialled by representatives of PSG. These were presented at PSG and were well received.</li> <li>The Corporate Plan has been developed and approved by Full Council</li> <li>A reporting framework has been developed that allows the right audiences to focus on the right level of detail to better aid decision-making. Some elements of this were used in the Q4 2016-17 performance reporting cycle and will be fully implemented for the reporting of performance for Q1 2017-18 to ensure robust reporting arrangements for the WBFAG Act</li> <li>A Directorate Delivery Plan template was developed, that incorporates the Future Generations requirements and the 5 ways of working. All directorates have developed these plans</li> <li>Discussions have commenced with key representatives to further develop the self-assessment process which will contribute to the development of the Corporate Plan.</li> <li>Service Level scorecards have been developed across the Council and combine planning and reporting elements. These Scorecards are used, where appropriate, to provide additional detail to supplement the reporting against the Strategic Directorate Priorities and the Corporate Plan Wellbeing Objectives</li> <li>Directorate Delivery Plans were developed and in use from April 2017. They will be used and monitored throughout the year to ensure they represent a clear and up to date statement of what the directorate is aiming to deliver and the progress it is making</li> <li>Building on the work carried out in 2016-17 a new quarterly reporting template has been developed in collaboration with key stakeholders.</li> <li>A Members training session regarding the Performance Management Framework was developed and carried out at the end of the September</li> <li>The Performance Management Framework and Strategy has been finalised. A soft launch has taken place via the Corporate Performance Team's Public SharePoint Page and will be officially launched in Quarter 3 The Framework will ensure greater effectiveness of planning and reporting, with clearer accountabilities and enhanced 'line of sight'. A cascading matrix system of reporting has been developed through DDPs, Service Plan Scorecard and the reporting framework to demonstrate the golden thread.</li> <li>The high level Performance Management Framework documents are available on the Performance Team's Public SharePoint page</li> <li>The Self-assessment process from 2016-17 has been built on and is being rolled out in September 2017. The outputs from this will be used to develop the Corporate Plan and the Directorate Delivery Plans.</li> </ul>					
<p><b>5. Health and Safety</b></p> <p>Ineffective health and safety management across the Council with poor application of health and safety policy and guidance.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Fatalities</li> <li>Serious injuries</li> <li>Prosecution – fines for body corporate and/ or fines/imprisonment for individual</li> <li>Claims</li> </ul>	<b>A</b>	<b>1</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>Health and Safety Team appointed, allocation of support dependent on risk, priorities for Service Area improvement agreed.</li> <li>Health and Safety Support Service for schools launched at the start of term, allocation of resources dependent on individual school assessment (provided on a non traded basis until 20/21).</li> <li>Key areas of improvement for the Council include:- <ul style="list-style-type: none"> <li>-Asbestos</li> <li>- Fire Safety</li> <li>- Electrical Safety</li> <li>- Gas Safety</li> <li>- Legionella Control</li> </ul> </li> <li>RAMIS implementation well underway, 200 Building Managers have received training and have access to the system, supported by a full time officer Administering RAMIS.</li> <li>RAMIS Status reported to SMT bi-monthly providing compliance statistics on Phase 1 of implementation – Cyclical statutory inspections for high risk disciplines.</li> <li>RAMIS4Schools further rolled out to schools providing up to date H&amp;S information specific to Education/schools.</li> <li>Quality of Risk Assessments across the Council is varied and improvements are required in consistency and quality in some areas, particularly those relating to high-risk activities, corporate objective for 18/19.</li> <li>Due to the lack of resources, general health and safety audits have not been undertaken in the last Qtr. however, a number of reports have been provided in relation to schools sites and other high-risk issues.</li> <li>Review of Health and Safety Policy and Guidance has moved at a pace following recruitment to the Corporate H&amp;S Team.</li> </ul>	<b>B</b>	<b>2</b>	<b>High Priority</b>	<ul style="list-style-type: none"> <li>Health and Safety Team to be imbedded and continue work on priorities within service areas.</li> <li>Health and Safety Schools Service to progress key priority work in schools, including RAMIS Implementation, Fire Safety, Asbestos Management, Legionella Control, Traffic Management and Contractor Management (CDM).</li> <li>Asbestos Management - Responsibility for Asbestos to move to H&amp;S from SED, along with surveying budget - 3 Asbestos Officers being recruited to progress asbestos surveys using RAMIS. All existing asbestos information to be uploaded to RAMIS, to provide access to building managers, technical officers and contractors.</li> <li>Fire Risk Assessment Reviews programme on track, review of fire remedial works across the estate underway, in order to update RAMIS and commission only required Fire Safety works across the estate.</li> <li>Electrical - Significant improvement made on electrical safety, Policy Implemented, RAMIS electrical testing module being implemented with contractor to remove subjective nature of fault categorisation - reducing costs and liability</li> <li>Gas Safety - Significant improvement in compliance, corporate policy to be developed, along with close monitoring of RAMIS remedial tasks.</li> <li>Legionella Management - Contract being set up to undertake reviews of priority sites, updating RAMIS and implementing Written Schemes, Policy to be drafted and internal monthly temperature monitoring regime to be established across the Estate.</li> <li>RAMIS Implementation continues, including reporting to strategic forums across the Council, compliance rating on cyclical tasks has been achieved (80% compliance on high risk cyclical tasks)</li> <li>RAMIS - Reporting to SMT now includes remedial tasks arising out of high risk inspections, further work to be undertaken to review remedial works relating to Fire, Legionella, Gas and Electrical Safety to ensure that priority works are undertaken.</li> <li>H&amp;S Policy and Guidance continues to be reviewed, all new</li> </ul>	<p><b>Christine Salter</b> (Donna Jones)</p> <p><b>Councillor</b> <b>Chris Weaver</b> Finance Modernisation and Performance</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
									and updated policy and guidance to be agreed by H&S Forum and disseminated across the Council. <ul style="list-style-type: none"> <li>HSE Inspection of Highways Lighting Maintenance and the Council's Electrical Safety Policy completed, no non-compliances identified, changes to policy and localised practice completed.</li> </ul>	
<p><b>16. Climate Change &amp; Energy Security</b></p> <p>Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply</p>	<p>Reputational / Financial / Stakeholder / Service delivery / Legal / Partnership / Community / Health &amp; Safety</p> <p>Climate change will result in more intense and frequent rainfall events causing flooding, impacting:</p> <ul style="list-style-type: none"> <li>Loss of life and personal injury;</li> <li>Direct damage to property, infrastructure and utilities;</li> <li>Contamination and disease from flood and sewer water and flood on contaminated land;</li> <li>Increased cost of insurance;</li> <li>Break up of community and social cohesion;</li> <li>Blight of land and development.</li> </ul> <p><b>SHORT TERM RISKS</b> Climate change is noted to already be affecting the frequency and intensity of rainfall events, making storm events flashier and increasing the rainfall volume. Our existing drainage network has not been designed to accommodate this increase in rainfall and in the short term, there will be an increase in flood events from urban drainage systems.</p> <p><b>LONG TERM RISKS</b> The influence of climate change will increase in the future and continue to have a growing influence on rainfall intensity and frequency. The urban drainage network in Cardiff will increasingly underperform and not be able to accommodate the increase in surface water runoff response time and volume from storm events. Storms will become flashier and carry higher rainfall.</p> <p>Poor management of new development will exacerbate the potential flood risk by not reflecting natural drainage catchments and by not dealing with rainfall at source.</p> <p><b>Fluvial Flooding</b> There are 3 main rivers impacting the City - whilst main rivers are the responsibility of Natural Resource Wales, and as a Local Flood Authority we are not responsible for them, the affects of climate change will result in more flooding i.e. the same short term and long term risks will apply in relation to fluvial flooding.</p> <p>Increased summer temperatures:</p> <ul style="list-style-type: none"> <li>An increase in heat related discomfort, illness and death, increasing pressure on health and emergency services</li> <li>An increase in demand for limited water supplies</li> <li>Damage to temperature sensitive infrastructure (transport systems, electrical systems).</li> <li>Migration of biodiversity.</li> </ul> <p>Inconsistent energy supply and cost:</p> <ul style="list-style-type: none"> <li>Inability to deliver public services</li> <li>Decrease in economic output</li> <li>Disruption to the supply of utilities</li> <li>Increased transport costs</li> <li>Increased costs for heating</li> </ul>	B	1	High Priority	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> <li>Cardiff Council Emergency Management Unit is working through the Local Resilience Forum (LRF) structure to ensure planning is carried out with consideration of flood risk.</li> <li>Cardiff Area Community Risk Register is developed and reviewed on a regular basis by the Cardiff Area Risk Group. It takes into account changes in the national risk register and how those changes affect Cardiff.</li> <li>We are engaging internally with The Welfare of Future Generations Act to integrate the community work with the Councils strategy and externally with voluntary organisations such as C3SC to provide training to community groups across Cardiff</li> <li>Cardiff Council Emergency Management Unit have in place a long term communication strategy in Cardiff in conjunction with multi agency partners highlighting flood awareness alongside other emergency eventualities such as extreme temperatures and how residents, businesses and communities can be aware of the risks in their area and hence better prepare for them should that risk materialise. Cardiff has 5 active community flood plans with others in the planning stage. We have produced a 'Preparing for Emergencies – A Guide for Communities' document which is now available to all agencies and organisations. It provides information on how to prepare, respond and recover from an incident including flooding. The document can be found via the following link; <a href="https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx">https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Emergency-Planning-and-Resilience/Emergency-Planning-and-Resilience/Pages/default.aspx</a></li> <li>We have further developed our capability to communicate with the public with the development of the EVAC Cardiff App which is now available for both android and apple systems. Alongside the App we are developing a stand-alone website to offer further advice and information to back up the information available via the App.</li> <li>Parts of Cardiff now benefit from flood mitigation schemes, Rhiwbina village has a completed scheme providing flood protection to numerous properties that have been affected by flooding from Whitchurch Brook, Roath area of Cardiff around Waterloo Gardens has a scheme being built now which when complete will give flood protection to approx. 400 properties. This scheme has been developed and funded by Natural Resources Wales and Welsh Government. A coastal flood protection scheme is also being developed for future protection of the coast along Rover way. Emergency Management have been involved in all of these schemes alongside our Highways, Drainage and Water Management teams and the local communities.</li> <li>We also have procedures in place to alert relevant departments within the council to extreme temperatures and work with partner agencies in line with Welsh Governments Heatwave Plan, this can be found via the following link; <a href="http://www.wales.nhs.uk/docopen/218909/">http://www.wales.nhs.uk/docopen/218909/</a></li> </ul> <p><b>Energy Management</b></p> <ul style="list-style-type: none"> <li>The Council procures competitive energy contracts through the Crown Commercial Services on a 6 monthly purchasing window for the following 12 month financial year.</li> <li>Key sites are fitted with back-up generators for emergency backup, specifically for IT systems.</li> <li>The Carbon reduction Strategy 2022 identifies projects and activities through 4 strands in order to achieve a 35% reduction in the council's carbon emissions from electricity and gas by 2022. These include; Renewables, energy Efficiency, Design and Asset Management and Behaviour Change.</li> <li>Control of energy use and demand reduction in the Council Estate <ul style="list-style-type: none"> <li>Energy efficiency measures being installed through Re:Fit and Salix projects</li> <li>NPS Consortium approach to purchasing energy to secure best prices</li> <li>"Behaviour change" and smart control actions to minimise use</li> </ul> </li> </ul> <p>Next phase of Re:Fit and Salix has been finalised</p> <ul style="list-style-type: none"> <li>Increasing local renewable generation <ul style="list-style-type: none"> <li>Solar roof and other on-site renewables delivered and others planned</li> <li>Lamby Way Solar Farm</li> <li>District Heat Network proposals</li> </ul> </li> </ul> <p>Both the Heat Network and Lamby Way Solar Farm schemes have been given authority to proceed by Cabinet, subject to Final Business Case approval</p> <p><b>Flood management</b> Local Flood Risk Management Strategy - The LFRMS integrates; the PFRA, a coastal protection strategy, stakeholder communications and sets a clear corporate approach to flood management. Flood Risk Management Plan - sets out how Cardiff Council will manage</p>	D	1	Medium Priority (Red/Amber)	<p>Emergency Management Unit</p> <ul style="list-style-type: none"> <li>To consider flood risks recognised in the Community Risk Register in the Community Planning/Integrated Partnership process. Community resilience workshops continue in high risk areas.</li> </ul> <p><b>Energy Management</b></p> <ul style="list-style-type: none"> <li>Deliver development of local power generation within city boundaries and with neighbouring LAs by securing heat networks, Deliver the Affordable Warmth Strategy through measures such as ECO3 and energy efficiency opportunities, provide supplementary planning guidance on passive and renewable heating systems to new build and retrofit schemes.</li> <li>Energy security related issues to inform corporate financial systems revised buying and power consumption monitoring arrangements to save money and reduce demand and provide corporate &amp; community planning for Energy City Wide to Business and public sector.</li> <li>Further guidance to be disseminated to service areas on energy security and energy savings opportunities such as implementation of Carbon Culture, delivering extensive energy invest to save programmes on the Council Estate.</li> <li>Submit planning application in Dec 2018 and begin Design and Build procurement for Lamby Way solar Farm, which will feed into Final Business Case.</li> <li>Submit grant application for heat network in Jan 2019 and implement energy efficiency works identified in Re:Fit and Salix projects</li> <li>Present Lamby Way Solar Farm Final Business Case for Cabinet approval in March 2019</li> <li>Present Heat Network Final Business Case for Cabinet approval in Autumn 2019</li> </ul> <p><b>Flood Management Planning</b></p> <ul style="list-style-type: none"> <li>Data collation for monitoring flood risk indicators for 2017/18 has been completed and has fed into the 2nd LDP AMR which was endorsed by Cabinet in September 2018. This is due to be submitted to Welsh Government by the end of October 2018.</li> <li>SuDS approval body (SAB) will be implemented on 7th Jan 2019 requiring sustainable drainage of all new developments, in accordance with statutory/ legislative requirements.</li> <li>Implementation of new flood risk management tool in AMX database to ensure better quality control and promote digital working. Upload and assessment of historical information for review with Flood Risk Regulations 2009 requirements.</li> </ul> <p><b>Sustainable Development Unit</b></p> <ul style="list-style-type: none"> <li>Climate Change is referenced in the Well-Being Assessment and an action included in the Well-Being Plan.</li> <li>Work to be undertaken with both the Covenant of Mayors and the Compact of Mayors (merging to become the Global Covenant of Mayors for Climate Change) to agree a consistent method of emissions reporting and action planning so as to not duplicate efforts and get maximum benefit from the commitments.</li> </ul>	<p><b>Andrew Gregory</b></p> <p><b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment</p>



Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
				High Priority	<p>flooding so that the communities most at risk and the environment benefit the most:</p> <ul style="list-style-type: none"> <li>• Highlighting areas most at risk of flooding from surface water, ordinary watercourses and groundwater in Cardiff Council's area;</li> <li>• Draws conclusions from these risks; and</li> <li>• Sets out the measures that will be implemented over the 6-year cycle to mitigate these risks and make our communities more resilient.</li> </ul> <p>Planning - Project Mgt techniques and partnership working are being used to effectively manage the process of preparing the LDP Annual Monitoring Report (AMR) and a programme of Supplementary Planning Guidance (SPG). A process has been identified and tested to collect data relating to the flood risk indicators. TAN15 of Planning Policy Wales means new development must take future impacts of climate change into account in the design process.</p> <p>Retrofit of SuDS (sustainable drainage) - to remove surface water from piped systems and control surface water at source through schemes such as Greener Grangetown.</p> <p>Atkins have completed the Surface Water SPG and it is with CCC officers for review. Consideration of the document for release in conjunction with Schedule 3 of the Flood and Water Management Act 2010 is to be considered. Data collation for monitoring flood risk indicators completed.</p> <p>Sustainable Development Unit The Council has signed up to both the Compact of Mayors and the Covenant of Mayors. Reporting year 2 data submitted for the Compact of Mayors Carbon Disclosure Project and a Monitoring Emissions Inventory for the Covenant of Mayors Sustainable Energy Action Plan.</p>					
<p><b>17. Coastal Erosion</b></p> <p>Breach of current defences resulting in widespread flooding.</p>	<p>Health &amp; Safety /Reputational/ Financial/ Service Delivery/ Strategic</p> <ul style="list-style-type: none"> <li>• Continued coastal erosion along the coast threatening the Rover Way Traveller site and critical infrastructure including Rover Way and the Rover Way/Lamby Way roundabout</li> <li>• Erosion to two decommissioned land fill sites, with risk of releasing landfill material into the Severn Estuary and having significant environmental impacts</li> <li>• Flood risk to 1,116 residential and 72 non-residential properties over 100 years, including risk to life, property, infrastructure and services</li> </ul> <p>N.B. the predicted rates of erosion threaten the Rover Way Travellers Site and the adjacent electrical substation within 5 years, and further release of large volumes of unknown tip material from the Frag Tip into the Seven Estuary.</p>	B	1	High Priority	<ul style="list-style-type: none"> <li>• There are no controls to avoid the flood and coastal erosion risk event occurring, however incident management arrangements are in place, which whilst not preventative, represent a level of control.</li> <li>• The current adhoc defences along the area are in a very poor condition.</li> <li>• The necessary works are holistic and cannot be phased, therefore the residual risk rate cannot be lowered until the completed construction of the coastal defence scheme in its entirety.</li> <li>• An Outline Business Case (OBC) has been submitted to Welsh Government for review as part of the WG Coastal Risk Management Programme that provides a funding mechanism for 75% of onward capital costs.</li> <li>• A 25% capital matchfunding bid for 18/19 has been submitted &amp; approved subject to WG grant award</li> <li>• Formal application for funding and approval from WG submitted</li> <li>• A Cabinet Office Forward Plan was submitted for March 2018 Cabinet Meeting for funding approval.</li> <li>• The total costs associated with the Design, Early Contractor Engagement and Construction phases have been estimated at £10.9M (WG 75% funding = £8.2M and CCC 25% funding = £2.7M )</li> <li>• Following the approval by Cabinet in March 2018 to progress the delivery of the Rover Way to Lamby Way coastal defence scheme, £638,549 grant has been received from Welsh Government (WG) to develop the Design and Full Business Case for the coastal defence scheme, with WG funding agreed in principal for construction phase, subject to approval of the business case.</li> </ul>	B	1	High Priority	<p>Next steps:</p> <ul style="list-style-type: none"> <li>• Tender process for full business case for preferred option to be procured via the NPS framework - October 2018</li> <li>• Progression of full business case - anticipated for completion end of 2019.</li> </ul>	<p><b>Andrew Gregory</b></p> <p><b>Councillor Michael Michael</b> Clean Streets, Recycling and Environment</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
<p><b>18. Information Governance</b></p> <p>Information handled inappropriately leaves the Council exposed to intervention and financial penalties issued by the Information Commissioner (ICO). This includes information held by Cardiff Schools.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Leads to the Information Commissioner issuing notices of non-compliance</li> <li>These could consist of: <ul style="list-style-type: none"> <li>a Stop Now Order which would mean that no personal data could be processed by the Council in its entirety</li> <li>An Information Notice which would mean that a service would have to provide information in a very limited period thereby impacting on service delivery</li> <li>Undertaking which requires an Action Plan of Remedial Measures which would be subject to ICO Audit</li> <li>Enforcement Notice requires immediate improvement action to be put in place</li> <li>Financial Penalty up to £500,000 (currently)</li> <li>The General Data Protection Regulation will come into force in May 2018 and puts in place a new Enforcement Regime and financial penalty structure. The maximum fine will be 4% of turnover or 20,000,000 euros</li> </ul> </li> </ul>	A	1	High Priority	<ul style="list-style-type: none"> <li>Information Security Board chaired by the SIRO held quarterly.</li> <li>Suite of Information Governance Policies in place and annually updated.</li> <li>Processes for Information Requests, Data Loss in place.</li> <li>The Information Governance Training Strategy in place and training provided to staff with access to electronic personal data</li> <li>Information Requests and Training compliance monitoring reports provided and reported to Information Security Board, SIRO.</li> <li>ICO Consensual Audit determined that the Council is considered to have a 'reasonable level of assurance' in place</li> <li>Standard Contracts include a clause regarding 3rd Parties processing personal data and obligations in respect of Freedom of Information</li> <li>Processes established through procurement and ICT acquisition processes for ensuring Privacy Impact Assessments are completed if personal data is being processed, including Data Processing Agreement with third party contractors</li> <li>Privacy Impact Assessment Board established to ensure that the Council, when changing systems and processes where personal data is involved, considers relevant legislation.</li> <li>Advice provided to the National Adoption Service, and Service Level Agreements in place for service provisions to Rent Smart Wales and Cardiff Capital Region City Deal as Cardiff Council is the Data Controller for these services</li> <li>Advice and assistance provided to collaborative services of the Educational Consortium, Vale, Valleys and Cardiff Regional Adoption Service and Shared Regulatory Service where Cardiff is not the Data Controller</li> <li>Advice and Guidance Service in operation to Cardiff Schools (with the exception of Eastern High and St Illyds) to support compliance within schools and governing bodies</li> <li>Advice and guidance available to Directors and Lead Officers on the Information Governance aspects of Alternative delivery Models</li> <li>Digitisation of Records forms part of the considerations of the OD Programme for services becoming 'digital by default' and programmes of digitisation support provided to services where contracted.</li> <li>Corporate Retention schedule in place and updated annually in line with any legislative changes</li> <li>Information Governance Maturity Model established to monitor risks against areas of information governance to feed into corporate risk status</li> <li>The Digitalisation of Paper Records Strategy and associated business process changes is in place</li> <li>A Corporate external storage contract is in place to improve processes and financial spend on storage of paper records externally</li> <li>The Council's Data Processing Agreement template has been updated to ensure that this remains compliant with the requirements of the Data Protection Act</li> <li>GDPR Implementation Plan is in place and a GDPR Implementation Group has oversight of progress and will escalate issues to the Operational Manager Information Governance and Risk Management and the Council's SIRO.</li> </ul>	D	1	Medium Priority (Red/Amber)	<ol style="list-style-type: none"> <li>Completion of the GDPR Implementation Plan (6 months)</li> <li>Improve the IG Training compliance to meet the target of 100% (3 months)</li> </ol>	<p><b>Christine Salter</b> (Vivienne Pearson)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>19. Increase in Demand (Childrens' Services)</b></p> <p>Failure to effectively manage demand resulting in increase in number of looked after children and the service and financial pressures this presents.</p>	<p>Reputational / Community / Legal / Financial / Stakeholders / Service delivery</p> <ul style="list-style-type: none"> <li>Family breakdown leading to children becoming looked after</li> <li>Growth in the number of children entering the looked after system and associated costs for the Authority</li> <li>Insufficient placements to meet need</li> <li>Children are less likely to achieve their potential and to be fully participating citizens</li> <li>Life chances for children are reduced</li> <li>Delays in issuing care proceedings because of existing capacity in both Childrens' and Legal Services</li> <li>Challenges in 'improving outcomes for children 'Challenges in effectively managing Service and financial pressures</li> <li>Significant increase in demand for residential and foster care placements for LACr resulting in increase in numbers placed outside Cardiff</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Early Help Strategy</li> <li>Information, Advice and Assistance functions (including implementation of Dewis Cymru and Support 4 Families)</li> <li>Locality working</li> <li>Interface Protocol for Childrens' Services with Children's Team Around Family (TAF) AND Disability Team Around the Family (DTAF) agreed and implemented</li> <li>Families First/Team Around the Family</li> <li>Flying Start</li> <li>FISS Rapid Response Service</li> <li>Adolescent Resource Centre</li> <li>Legal tracker and Legal surgery</li> <li>Direct Payments</li> <li>Young Carers Action Plan</li> </ul>	C	1	High Priority	<ul style="list-style-type: none"> <li>Partnership arrangements for delivery of Child and Adolescent Mental Health Service (CAMHS) to be reviewed</li> <li>Refresh of Early Help Strategy by 12 months +</li> <li>Mobilisation of New Families First Services by Sept 18</li> <li>Support for Families Project Board</li> <li>Embedding Improving Outcomes for Children Programme Programme Board and project groups beneath it.</li> <li>Recommissioning of Families First Services for disabled children and young people by 31.3.19</li> </ul> <p>DDP 18/19 update :</p> <ul style="list-style-type: none"> <li>Improve recruitment and retention of children's social workers, ensuring the Council achieves and maintains a vacancy rate below 18% by March 2019 to raise standards and drive the quality and competency levels of staff through effective workforce dev in order to enable those with care and support needs to achieve what matters to them (DP13-CS)</li> <li>Continue to implement a sustainable finance and service delivery strategy across Children's and Adult Services throughout 2018/19, where the commissioning and delivery of services is evidence based, outcome focussed and commercially sound (CP15-SS)</li> </ul>	<p><b>Sarah McGill &amp; Claire Marchant</b></p> <p><b>Councillor Susan Elsmore</b> Social Care, Health &amp; Well-being</p> <p><b>Councillor Graham Hinchey</b> Children &amp; Families</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
									Q1 report update : <ul style="list-style-type: none"> <li>New National Social Work Recruitment Campaign. Newly refreshed UK wide recruitment campaign underway in Q1. The 'strap-line' for Cardiff's Children's Service is 'With You... With the Child... Every step of the way! There was a huge investment into Children's Services during 17/18, allowing the creation of new teams and services. However, there are still many posts to recruit into. The campaign aims to recruit passionate and innovative social workers into the service by highlighting the amazing opportunities available, plus emphasising the benefits of working for Cardiff Council. 35 posts have been advertised in the first phase. In conjunction with HR People Services, planning is underway to target Ireland in the second phase and to apply for a Sponsorship License to recruit outside the European Union and the wider Economic European Area. The ambition is to support the workforce by reducing caseloads so that social workers can do what they do best; work directly with children, young people and their families. Staff in Social Services were encouraged to spread the word to family and friends and share on social media to maximise publicity</li> </ul>	
<p><b>20. Delivering Capital Ambition Programme</b></p> <p>Projects within the Programme fail to deliver the change required to ensure the implementation of the Administration's agenda and to refocus services to meet the challenges faced by the Council and the city's wider public services.</p>	<ul style="list-style-type: none"> <li>Failure to deliver the Administration's Capital Ambition statement.</li> <li>Failure to respond to the key financial and organisational challenges that dominate the medium term planning horizon of the Council.</li> <li>Vital services will not be protected if we fail to find more efficient ways of working.</li> <li>Reputational impact if services do not meet increasing customer expectations.</li> <li>Public services are not delivered efficiently or effectively and fail to deliver joined up services to the public.</li> <li>Lack of a programme management approach to the delivery of these significant projects will result in lack of governance and failure to report project progress to relevant stakeholders in a timely manner.</li> <li>Reputational risk with our external regulators if the CADP is not delivering on time and does not have robust governance arrangements in place.</li> </ul>	B	1	High Priority	<ul style="list-style-type: none"> <li>Governance arrangements established and led by the Chief Executive. The Modernisation component of the Capital Ambition Delivery Programme is led by the Corporate Director Resources; and the Resilient Services component is led by the Corporate Director People and Communities.</li> <li>Disciplined approach, where risk assessment forms an integral part of the approach to change</li> <li>Programmes and projects initiated with dedicated resources.</li> <li>Experienced gained by managing programmes and projects over a number of years, building on lessons learned.</li> <li>An extensive training programme for the Capital Ambition Delivery Team has been rolled during 2017/18 to ensure both project management and business analyst's skills and knowledge are enhanced.</li> <li>Building capacity and capability across the organisation through development opportunities and skills transfer.</li> <li>Appropriate engagement and stakeholder management, including Trade Union meetings and updates for PRAP, Scrutiny and Internal Audit.</li> <li>Continued implementation of Programme &amp; Project Management Database to enhance management information and reporting. Investment Review Board review/approve Business Cases and prioritise resources.</li> <li>SMT acts as the Sponsoring Group and receives regular updates on programme and project progress. All Programme Briefs are submitted to SMT for discussion prior to them being signed off at the relevant programme board.</li> <li>Cabinet report dated 14th December 2017, approved the Delivering Capital Ambition Programme.</li> <li>The Cabinet Performance and Delivery Group has been established and will receive Programme updates on a quarterly basis.</li> <li>The Capital Ambition Delivery Programme (CADP) supersedes and replaces the Organisational Development Programme that had been in place since May 2014.</li> <li>All Programme Briefs have been signed off by SMT and the relevant programme boards.</li> <li>Project briefs have been developed for a number of projects within the CADP.</li> </ul>	D	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Project briefs will continue to be developed during quarter 2 &amp; 3.</li> <li>The current Organisational Development Programme has been closed down with programme closure reports completed.</li> <li>Governance arrangements will be reviewed in quarter 3 of 18/19 to ensure the projects within the CADP are being managed effectively.</li> <li>Programme dashboards have been developed with performance leads to ensure we capture both performance and project data and these have been reported into the relevant Programme Board. These will continue to be developed during quarter 3.</li> <li>Portfolio dashboards (for Modernisation and Resilient Services) are being developed and will be taken to SMT early in quarter 3. Monthly meetings are also taking place between the relevant SRO and the Portfolio Manager from the CADT. Project executives are invited to these meetings, as and when required, to provide project updates.</li> </ul>	<p><b>Christine Salter</b> (Dean Thomas)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>21. Legal Compliance</b></p> <p>Changes in services and staff roles across the Council resulting in:</p> <ul style="list-style-type: none"> <li>gaps in Council wide knowledge of the local authority framework of responsibilities and duties within which we have to operate;</li> <li>inability to deliver the services in accordance with all duties and responsibilities due to lack of resource:</li> </ul> <p>In each case leading to increased risk of challenges.</p> <p>Reduction and changes in front-line services, discretionary and statutory, will lead to increased risks of challenge from users and other stakeholders affected.</p>	<p>Reputational / Legal / Financial / Service delivery</p> <ul style="list-style-type: none"> <li>Increase in number of challenges and complaints with consequences in terms of already stretched resources and impact of adverse decisions</li> <li>Implementation of decisions delayed due to challenges and potentially fatally disrupted.</li> <li>Impact on projects if reputation for sound management and implementation of projects is damaged</li> <li>Major incident.</li> <li>Adverse press/media reaction</li> <li>Involvement from Welsh Government in terms of performance standards or measures.</li> <li>Increased costs</li> <li>Impact on capacity to deal with proactive legal work</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Professional internal legal and financial advice provided to a high standard.</li> <li>Maintaining robust decision making process with legal implications on all Council, Cabinet and Committee reports and Officer Decision Reports at Director level.</li> <li>Appropriate use of NPS Legal Services by Solicitors Framework to increase resilience.</li> <li>Dedicated teams in specialist areas e.g. equalities, FOI / DPA.</li> <li>Sharing training/publications received.</li> </ul>	D	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Project briefs will continue to be developed during quarter 2.</li> <li>The current Organisational Development Programme will be closed down with programme closure reports being developed during Q1 18/19 and finalised in the early part of quarter 2.</li> <li>Governance arrangements will be reviewed in quarter 3 of 18/19 to ensure the projects within the CADP are being managed effectively.</li> <li>Programme dashboards are being developed with performance leads to ensure we capture both performance and project data, that will then be reported into the relevant Programme Board and SMT. These dashboards should be available during quarter 2 of 18/19.</li> <li>Prioritisation of work to make best use of internal expertise (including programme of projects in accordance with SMT decision)</li> <li>Further development of standard precedents with guidance for use in cases of low value/low risk/repetitive matters</li> <li>Provide legal training to Directorates to develop knowledge within Directorates of specific statutory functions.</li> <li>Encourage Directorates to ensure reports are discussed at preliminary stage in development to ensure all legal issues are addressed early</li> </ul>	<p><b>Davina Fiore</b></p> <p><b>Councillor Huw Thomas</b> Leader</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
<p><b>22. Education – Schools Delegated Budgets</b></p> <p>Secondary Schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.</p>	<p>Reputational / Legal / Financial.</p> <ul style="list-style-type: none"> <li>Budget implications.</li> <li>Educational standards falling behind other LA's.</li> <li>Potential impact on Estyn judgement for LA.</li> <li>Intervention from WG</li> </ul>	A	2	High Priority	<ul style="list-style-type: none"> <li>The 2018/2019 delegated budget allocations were issued to schools in early March 2018 and monitoring arrangements put in place for those schools showing financial concern.</li> <li>Officers from Education and Financial Services have started to work with individual schools through Headteachers and Governing Bodies to formulate Medium Term Financial Plans (MTFP) to seek to either balance individual school deficits within four financial years or to ensure that the accumulated deficits were frozen or slowed as much as possible.</li> <li>The previous fall in pupil numbers for certain schools made it clear that a longer period than four years was needed in order to achieve a balanced medium term position</li> <li>Officers continue to monitor and challenge those schools in deficit before allowing any additional financial commitments, both staffing and other expenditure.</li> <li>Work ongoing with all schools but focussed targeting on specific secondary schools to continue to dampen the growth in deficits and ensure that those that do occur are recoverable.</li> <li>Reviewing closely with Education Management Team and SOP in particular as to the opportunities available to address short medium term fall in pupil numbers for certain secondary schools</li> <li>For each school in deficit, the Council has identified a monitoring officer to provide an independent challenge to the school. This is in addition to the LFM Officer currently supporting that school</li> <li>Individual school budget monitoring positions reported to Education Management Team on a quarterly basis</li> <li>Officers have exercised the statutory powers of intervention in three secondary school governing bodies which is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans.</li> <li>School Budget Forum has agreed a revised protocol for responding to schools in deficit and this needs regular review with a tightening on the number of deficit budgets accepted. This has been reflected in the harder message contained within the 2018/19 school budget letters and the 2018/19 Budget Report.</li> <li>Finance Officers continue to meet with Challenge Advisers to discuss individual schools in respect of their financial and school standard performance.</li> <li>The Council has been able to protect school delegated budgets over and above the Welsh Government threshold and a smaller number of schools than in 17/18 have been identified as requiring meeting with S151 officer and senior education officers. These meetings took place in April and early May.</li> <li>The Council will also introduce an increased level of scrutiny of school curriculum plans through support identified with the Central South Consortium.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Council make full use, if necessary, of formal warnings and powers of intervention.</li> <li>Officers exercise the statutory powers of intervention on a school or schools in deficit who are unable to provide a medium term financial plan, this may involve removing delegation from a Governing Body.</li> <li>Officers explore through the School Organisation Planning process how different organisational arrangements for schools would affect the supply of pupils to schools thus affecting their delegated budgets. This will include an understanding of the long term impact of any unused school supply places on the funding formula.</li> <li>Work is continuing with the School Budget Forum and consortium to ensure that the formula funding mechanism is transparent and remains fit for purpose whilst considering any interaction or impact of any grant allocation decisions.</li> <li>Maintaining the need for financial probity whilst ensuring that each school has the opportunity to improve school standards.</li> <li>Working with consortium to ensure that maximising value from constituent parts of Education Improvement Grant is secured and that there is clarity of allocation mechanism for 2018/19 and beyond.</li> <li>Following consultation with the School Budget Forum an audit of budget impact on individual schools was undertaken during the Summer Term 2018. A higher response rate than in the previous year is expected and will feed into the discussion regarding the medium term financial plan.</li> <li>To arrange workshop sessions in Autumn 2018 with all schools regarding the impact of the Council's MTFP.</li> </ul>	<p><b>Nick Batchelar</b> (Neil Hardee)</p> <p><b>Councillor Sarah Merry</b> Deputy Leader &amp; Education, Employment &amp; Skills</p>
<p><b>23. Fraud, Bribery and Corruption</b></p> <p>Fraud, financial impropriety or improper business practices increase as internal controls are weakened as resources become severely stretched.</p>	<p>Reputational / Financial / Legal / Service delivery / Stakeholder</p> <ul style="list-style-type: none"> <li>Increase in frauds and losses to the Council.</li> <li>Reputational risk as more frauds are reported.</li> <li>Increased time investigating suspected fraud cases.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>The Council communicates a zero tolerance approach to fraud, bribery and corruption.</li> <li>Regular review of relevant policies and procedures e.g. the Fraud, Bribery and Corruption Policy, Money Laundering Policy and Disciplinary Policy.</li> <li>Financial Procedure Rules and Contract Standing Order and Procurement Rules frameworks have been reviewed, approved and training rolled out.</li> <li>Work on the National Fraud Initiative exercises led by the Internal Audit, Investigation Team, in collaboration with the Cabinet Office and Wales Audit Office.</li> <li>Receipt and dissemination of fraud intelligence alerts from law enforcement agencies.</li> <li>Regular reports to the Section 151 Officer and Audit Committee and the Chief Executive.</li> <li>Audit Committee review and assess the risk management, internal control and corporate governance arrangements of the authority.</li> <li>Independent assurance from Internal and External Audit on the effectiveness of governance, risk and control.</li> <li>Ongoing delivery of briefings to Schools on fraud and control risks.</li> <li>Cardiff Manager Programme includes session on risk management and compliance / control.</li> <li>Provision of disciplinary management information on DigiGov.</li> <li>Multi-team collaboration in the development of the current Disciplinary Policy and supplementary guidance materials.</li> <li>Mandatory disciplinary e-learning module for all managers to complete and a programme of mandatory e-learning modules and training for Disciplinary Hearing Chairs, Investigating Officers and Presenting Officers.</li> <li>Training programme for disciplinary investigation note takers, developed and delivered by the Internal Audit, Investigation Team.</li> <li>A Fraud Publicity Strategy has been approved, to publicise the Council's approach to counter fraud work / sanction activity and explain the roles and responsibilities of key parties.</li> </ul>	D	2	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Communication plan set up in order to raise profile of Fraud awareness and ensuring that consequences of weak controls in place are fully understood across the organisation. This will include the Fraud Bribery Corruption Policy with awareness and education sessions.</li> <li>Investigation Team to liaise with the Monitoring Officer and agree a policy for monitoring employees at work and a management framework for its enactment as well as undertaking online investigations.</li> <li>Internal Audit to sample Disciplinary Hearing outcomes, challenge consistency of disciplinary sanctions and report findings to the Section 151 Officer and Audit Committee.</li> <li>Review and use the management information produced by HR in respect to the Disciplinary Policy and the production of management information</li> <li>Measure the effectiveness of fighting fraud and corruption against the CIPFA strategy by the end of Q4 2018/19.</li> </ul>	<p><b>Christine Salter</b> (Ian Allwood)</p> <p><b>Councillor Chris Weaver</b> Finance Modernisation and Performance</p>
<p><b>24. Workforce Planning</b></p> <p>Importance of forecasting and planning to build capability and</p>	<p>Reputational / Financial / Stakeholder / Service delivery</p> <ul style="list-style-type: none"> <li>Poor service delivery due to ineffective use of resources.</li> </ul>	B	2	High Priority	<ul style="list-style-type: none"> <li>Workforce Strategy developed and agreed by Cabinet in April 2015 and programme developed to encompass a number of projects relating to the requirements around this risk, including Workforce planning, Learning &amp; Development, PPDR review and Employee Voice.</li> </ul>	B	3	Medium Priority (Red/Amber)	<ul style="list-style-type: none"> <li>Renewed Workforce strategy for 2018-2021 due to be presented to Cabinet July 2018</li> <li>Continued roll out of revised toolkit across the organisation during quarter 2 2018</li> </ul>	<p><b>Christine Salter</b> (Philip Lenz)</p>

Risk Description	Potential Consequence	L	C	Inherent Risk	Current/Existing Controls	L	C	Residual Risk	Proposed Management Action	Risk Owner
capacity for the future is not fully recognised and embedded.	<ul style="list-style-type: none"> <li>Lack of resources with the knowledge and skills the Council requires for future delivery</li> <li>Loss of resources and recruitment problems.</li> <li>Poor morale</li> <li>Loss of experienced staff members including managers</li> <li>Reduce the likelihood of attracting high calibre managers to Cardiff Council</li> <li>Risk of not meeting statutory and legislative requirements in relation to specific workforce requirement e.g. social care.</li> <li>Risk of workforce not representing the communities to which services are delivered..</li> </ul>				<ul style="list-style-type: none"> <li>The Workforce planning project has a completed project brief identifying a number of key outputs</li> <li>Workforce planning dashboard data provided to each Directorate to inform Directorate Delivery Planning discussions and development.</li> <li>Research and benchmarking undertaken to help inform WFP approach going forward; including – attendance at WLGA – Work Force Planning Wales event - LGA/ Skills for Local Government hosted COP event.</li> <li>HR working with Directorates where required, to help identify appropriate strategies to support their WFP agenda.</li> <li>Children's Services have developed a Workforce Strategy for their area which is being reviewed on a regular basis.</li> <li>Resources have held a workshop which focussed on Professional and Technical areas to inform the key skills required for the Directorate going forward.</li> <li>Work has taken place with Cardiff and Vale College to roll out an Essential Skills diagnostic tool to frontline employees through Commercial Services</li> <li>A programme of NVQ study is being discussed with Cardiff &amp; vale College and Commercial Services are coming forward with cohorts of employees to attend.</li> <li>Employee surveys carried out to identify areas where further employee engagement / development can be focused.</li> <li>Work has been carried out with WLGA and WAO to look at a Wales wide workforce planning process for use within Local Authorities.</li> <li>Project brief for Workforce Planning provides full details of milestones and implementation dates.</li> <li>A review of the courses provided by the Cardiff Academy has taken place to ensure that these meet the skills requirements for the future.</li> <li>The Council is committed to providing apprenticeships and traineeships for young people and this programme will be enhanced further with a specific target of 100 opportunities for 2017/18.</li> <li>Workforce planning tool kit has been rolled out to pilot areas and workshops taking place between May and September 2017.</li> <li>Feedback from pilots has been received and allowed for the toolkit to be reviewed.</li> <li>Full rollout of Workforce planning toolkit to take place in 2018/19.</li> <li>Workforce planning toolkit presented to SMT in April 2018, and roll out across organisation commenced in first quarter.</li> </ul>			Amber)	<ul style="list-style-type: none"> <li>The Council is reviewing its resourcing strategies to ensure that it is a considered employer for young people leaving school, college and universities.</li> <li>As part of the Workforce Strategy Cabinet report, recruitment advertising to be reviewed and processes put in place to ensure that adverts are reaching hard to reach groups</li> <li>Work is taking place to identify areas where the employee group is not representative of the communities and actions identified of what could be done to improve this</li> <li>Actions being taken to improve the accessibility to Welsh language either through the recruitment process or through the training and development of current employees</li> <li>Development to take place of a corporately agreed skills set for the future delivery of services so that all employees and posts can be measured against this skill set to identify learning and development gaps</li> <li>An IT solution to be sourced during 2018/19 in order to develop workforce planning further and to ensure that the Council has available the data it requires to ensure efficient workforce planning in the future.</li> </ul>	Councillor Chris Weaver Finance Modernisation and Performance

Mae'r dudalen hon yn wag yn fwiadol

## Cardiff Council

### Audit Committee Update – November 2018

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#### Performance Audit work

2017-18 performance audit work	Scope	Status
<b>Overview and Scrutiny – Fit for the Future</b>	This review examined the impact of the WFG Act on the work of scrutiny committees including PSB scrutiny, facilitating improvement and sharing of good practice.	Complete.
<b>Service User Review</b>	To gather evidence and insight into the extent to which services respond to the needs and expectations of service users both in their design and delivery.	Complete.
<b>Digital transformation workshops</b>	The purpose of this review is to assist the Council in understanding and addressing current challenges in implementing its digital change programme with the aim of supporting the development of corporate ownership and action that promotes positive practices. Implementation of this review will bring the opportunity to refine current arrangements in the Council by promoting what is working well, identifying any barriers to change and developing local improvement opportunities.	Complete.
<b>Housing/WHQS Local Project</b>	To determine whether the Council has effective arrangements in place to enable it to engage with residents in meeting the WHQS by 2022.	Reporting.
<b>Digital Risk</b>	An overview of the level of digital risk the Council faces. The diagnostic will be used by the Wales Audit Office to identify 'potential' digital risks and issues at the Council. Potential risks identified will be used to focus	Reporting.

2017-18 performance audit work	Scope	Status
	auditors on areas where further, more specific Information management and technology related performance work might be needed.	

2018-19 performance audit work	Scope	Status
<b>Improvement Plan audit</b>	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to publish a self-assessment of performance in the previous year by 31 October.	Certificate issued to Council May 2018
<b>Performance Plan audit</b>	Checks Council compliance with Local Government Measure (Wales) 2009 requirement to set improvement objectives.	Not started. Due October/November 2018
<b>Annual Improvement Report (AIR)</b>	Annual report summarising the audit work undertaken in the last year which also includes a summary of the key findings from reports issued by 'relevant regulators'	Not started. Likely timescales June/July 2019
<b>Delivering Capital Ambition</b>	Ongoing review and monitoring of the Council's change programme.	Underway
<b>Assurance and risk assessment</b>	Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.	Underway



<b>Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations</b>	Examination of the extent to which the Council has acted in accordance with the sustainable development principles when taking steps to meet the following wellbeing objective: Cardiff has a high quality city environment where population growth and transport needs are managed sustainably	Underway
<b>Environmental health</b>	Review of the arrangements the Council has put in place to deliver environmental health services building on the study previously undertaken by the Auditor General as part of the 'delivering with less' themed studies.	Planning
<b>Leisure services</b>	Review of the arrangements the Council has put in place to deliver leisure services building on the 'study previously undertaken by the Auditor General as part of the 'delivering with less' themed studies.	Planning
<b>Corporate safeguarding arrangements</b>	Review of the effectiveness of corporate safeguarding arrangements building on the study previously undertaken by the Auditor General in this area.	Planning
<b>2017-18 Local Government Studies</b>	<b>Scope</b>	<b>Status</b>
<b>Services to rural communities</b>	The study will focus on whether local government uses its resources to deliver services that meet the needs of rural communities today and in the longer term. Cardiff has not been selected to take part in the detailed fieldwork of this study.	Report publication date 13 <sup>th</sup> November 2018.
<b>Using data effectively</b>	This study will seek to identify whether councils' corporate management arrangements for managing and using data are leading to better decision making in the use of resources. The study will collect information from all councils in Wales.  A short survey was issued to the following respondents across all councils in Wales	In progress.

	<ol style="list-style-type: none"> <li>1. corporate management teams</li> <li>2. ICT Managers</li> <li>3. Information Officers</li> <li>4. Policy Officers</li> <li>5. Operational Managers</li> <li>6. and Elected Members</li> </ol> <p>The survey closed on 15th December. Face-to-face or telephone interviews with officers undertaken.</p>	
<b>2018-19 Local Government Studies</b>	<b>Scope</b>	<b>Status</b>
<p>First point of contact assessments under the Social Services and Well-being (Wales) Act 2014</p>	<p>The Welsh Government introduced the Social Services and Well-being (Wales) Act 2014 (the 2014 Act), which focuses on reforming and simplifying the law relating to social services. The 2014 Act introduced new duties for local authorities, local health boards and other public bodies and covers adults, children and their carers, and came into force on 6 April 2016. The study will review first point of contact and assessments for adult social care.</p> <p>Detailed fieldwork in five local authorities. We are planning to undertake fieldwork in Cardiff City Council, Denbighshire County Council, Merthyr Tydfil County Borough Council, Pembrokeshire County Council and Carmarthenshire County Council</p>	<p>Underway.</p>
<p>Tackling violence against women, domestic abuse and sexual violence</p>	<p>In 2015 the Welsh Government passed the Violence against Women, Domestic Abuse and Sexual Violence (Wales) Act (the 2015 Act). The overarching objective of the 2015 Act is to improve the Public Sector response to violence against women, domestic abuse and sexual violence; provide a strategic focus on these issues; and ensure consistent consideration of preventative, protective and supportive</p>	<p>Underway</p>

	<p>mechanisms in the delivery of services. The review will focus on determining whether local authorities and their partners are effectively working together to prevent gender-based violence and domestic abuse, and protecting all of the people involved.</p> <p>Our fieldwork sites are Swansea City and County Council, Conwy County Borough Council, Flintshire County Council, Rhondda Cynon Taff County Borough Council, South Wales Police and South Wales Fire and Rescue Authority</p>	
<p>Planning Services: Improving the wellbeing of Wales</p>	<p>Planning services are an important part of the democratic jigsaw that allows the detailed consideration of proposals to improve the economic prospects of the nation. Good planning decisions can have a positive impact on the wellbeing of people and places. Poor planning decisions can have a detrimental impact on people’s wellbeing and can stifle economic development. This study will provide independent assurance that planning authorities are supporting sustainable development and delivering for the future long-term wellbeing of their communities and for Wales</p> <p>We are planning to undertake fieldwork in Bridgend County Borough Council, Gwynedd County Council, Newport City Council, Torfaen County Borough Council and Ceredigion County Council.</p>	<p>Underway</p>

National Studies	Update and link to report
Waste management	Recycling module (clearance); waste prevention (clearance) and waste treatment infrastructure modules (published 11 <sup>th</sup> October <a href="#">Link</a> )
NHS Wales informatics services	Published 10 January 2018. <a href="#">Link</a> to published report
Access to public services with the support of specialist interpretation and translation	Published 25 April 2018. <a href="#">Link</a> to published report
Early intervention and public behaviour change	Drafting

Welsh Government business finance	Clearance (phase 1)
Primary care	Published April 2018. <a href="#">Link</a> to published report
Youth services	Drafting
Rural Development Programme 2014-2020	Clearance
European Structural Funds Programme 2014-2020	Published August 2018 <a href="#">Link</a>
Integrated Care Fund	Drafting



# CARDIFF COUNCIL CYNGOR CAERDYDD

## AUDIT COMMITTEE: 13 NOVEMBER 2018

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### TREASURY MANAGEMENT MID YEAR REPORT 2018-19

### REPORT OF CORPORATE DIRECTOR RESOURCES

### AGENDA ITEM: 9.1

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

#### Reason for this Report

1. To inform Audit Committee members of the Council's treasury management activities since 1 April 2018 and the position as at 30 September 2018.

#### Background

2. The Council's treasury management activities are governed by legislation and a Code of Practice developed by the Chartered Institute of Public Finance and Accountancy (CIPFA) updated in 2017.

#### Issues

3. In the budget report of February 2010, Council adopted CIPFA's Treasury Management Code by formal acceptance of the Four Clauses of Treasury Management and Treasury Management Policy Statement as Council policy.
4. In accordance with these policies, this report provides members with a mid year update of Treasury Management activities as at 30 September 2018. Council requires the scrutiny of the accounting, audit and commercial issues of its Treasury Management Strategy and Practices to be undertaken by the Council's Audit Committee.
5. The mid-year monitoring report and supporting Annexes are attached as Appendix 1 are to be considered by Cabinet on 15 November 2018 and is to be referred to Council on 29 November 2018.

## **Reasons for Recommendations**

6. Council policy requires the Treasury Management Mid-Year Report 2018-19 update to be submitted to Council.

## **Legal Implications**

7. No direct legal implications arise from this report.

## **Financial Implications**

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

## **RECOMMENDATIONS**

That Audit Committee :-

Note the Treasury Management Mid Year Report 2018-19 (Appendix 1)

**CHRISTINE SALTER**  
**CORPORATE DIRECTOR RESOURCES**  
5 November 2018

The following Appendix is attached:-

Appendix 1: Treasury Management Mid Year Report 2018-19  
Annexe A – Treasury Management Policy Extract  
Annexe B – Investments at 30 September 2018  
Annexe C – Investment Charts at 30 September 2018  
Annexe D – Maturity Analysis of borrowing as at 30 September 2018  
Annexe E – Glossary of Treasury Management terms

# Treasury Management Mid-Year Report

2018-19



## Introduction

- 1.1 Treasury management activities are the management of an organisation's borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
- 1.2 The Council carries out its treasury management activities in accordance with a Treasury Management Code of Practice for public services, updated by CIPFA in 2017. This requires the Council to set out the policies and objectives of its treasury management activities and adopt four Clauses of Treasury Management (replicated in **Annexe A**). Changes recommended by the Code will be considered as part of the Treasury Strategy for 2019/20 and the requirements are considered later in this report.
- 1.3 Council received a report in February 2018 on the Council's Treasury Management Strategy for 2018/19. During 2018/19, Audit Committee has received periodic updates on the position and performance of Treasury Management and the issues included in the report below. In addition Council received in September 2018 the Annual Report on the Outturn for Treasury Management for 2017/18.
- 1.4 In accordance with Council policy, this report provides members with a mid-year update as at 30 September 2018 and covers:-
  - the economic background to treasury activities
  - investments
  - borrowing
  - debt rescheduling
  - compliance with treasury limits and prudential indicators
  - Treasury strategy, accounting and Treasury Management Code update for remainder of year.
- 1.5 Annexe E includes a glossary which defines key terms used in this report.

## Economic Background

- 2.1 Whilst UK growth in the first half of the year has been modest, this coupled with concern about the build up of inflationary pressures as a result of reduction in the value of sterling was sufficient for the Bank of England to raise the bank base rate to 0.75% in August 2018. Whilst financial markets are assuming the next increase in 2019 there are a number of local and international factors that will influence the approach and timing. These include:-
  - risks to wage and price inflation in the UK, with indications that employers are finding difficulties in filling job vacancies with suitable staff



- strong economic growth, reversal of the stimulus measures of quantitative easing previously introduced and increasing interest rates in the United States of America
- international trade risks impacting on growth and levels of debt
- uncertainty around the terms and implications of the UK's exit from the European Union.

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

	30/09/2018	March 2019	March 2020	March 2021
Bank Rate	0.75%	0.75%	1.00%	1.50%
5yr PWLB rate	1.93%	2.10%	2.30%	2.60%
10yr PWLB rate	2.33%	2.50%	2.80%	3.10%
25yr PWLB rate	2.74%	3.00%	3.30%	3.50%
50yr PWLB rate	2.56%	2.80%	3.10%	3.30%

2.3 PWLB rates are based on gilt yields and are thus subject to volatility caused by the uncertainties highlighted above along with geopolitical events. It can be seen from the table that the cost of borrowing remains significantly in excess of the rates that are available from investments. Borrowing rates have reduced in recent years as part of a bond buying programme by the Bank of England (Quantitative Easing). However central banks also need to consider the timing and strength of reversing the quantitative easing which was undertaken to inject liquidity into economies after 2008. There are concerns that economic growth has been too reliant on this stimulus resulting in a search for returns on riskier financial assets. Accordingly, whilst there are short term influences on rates, the overall long term forecast is for PWLB rates to rise. Increases in borrowing rates will impact on the costs of new borrowing to be undertaken. There will be no impact on existing borrowing as this is at fixed rates of interest.

## Investment

- 3.1 The management of the Council's cash flows may involve temporary lending of surplus funds to low risk counterparties or temporary borrowing pending receipt of income.
- 3.2 The Council's investment priorities remain the security and then liquidity of its Treasury investments. The Council also aims to achieve the optimum return appropriate to these priorities.

3.3 The Council invests with financial institutions in accordance with criteria approved in its Treasury Strategy. The categories, names, periods and size limits on this list can be extended, varied or restricted at any time by the Corporate Director Resources under delegated powers. Based primarily on Fitch credit criteria and a number of other factors which the Council takes into account, lending to these institutions is subject to time and size limits and credit worthiness continues to be carefully monitored. There have been no changes made to the list of eligible counterparties included as part of the 2018/19 Treasury Management Strategy approved by Council.

3.4 Following the introduction of The Markets in Financial Instruments Directive (MiFID) in January 2018, the Council has opted to be classified as a professional client rather than a retail client by financial institutions.

The Government's Funding for Lending Scheme has had the impact of reducing returns on investments. Returns are likely to remain low during 2018 and gently rise over the next few years. The approach of deferring external borrowing by using temporary cash balances has served well over the last few years. However, caution should be adopted to avoid incurring higher borrowing costs in the future when new borrowing is unavoidable.

3.5 At the 30 September 2018, investments stood at £65.2 million. These temporary funds fluctuate daily and arise for a number of reasons, including the timing differences between the receipt of grant and other income and the utilisation of these funds on salaries and other operating costs. It includes the level of reserves, provisions, and other balances. It is also affected by the timing of borrowing and capital expenditure transactions. **Annexe B** shows with whom these investments were held as at 30 September 2018. All investments are deemed recoverable.

3.6 A selection of performance indicators and benchmarking charts, is included in **Annexe C** as follows:-

- **Counterparty exposure** displays actual investment against the maximum permitted directly with an organisation. This demonstrates that we are not exceeding any exposure limits.
- **Remaining maturity profile of investments.** This shows the duration of investments is spread and that the Council is taking advantage of slightly higher rates for longer term investment where reasonable to do so.
- **Investments by institution.** This expresses the investments held with different institutions as a percentage of the total and shows diversification is sought where possible.
- **Geographic spread of investments** as determined by the country of origin of relevant organisations. All countries are rated AA and above as per our approved criteria and are licensed to take UK deposits. Investments are in Sterling only.
- **Investments by Financial Sector.** The majority of investments continue to be with banks.

3.7 Whilst a difficult figure to forecast due to the uncertainty of the markets, cash flows and the number of variables that impact on the figure, the forecast level of interest receivable from treasury investments for 2018/19 is £485,000. The return achieved since the start of the year is 0.68% compared to the benchmark 7 day London Interbank Bid Rate (LIBID) of 0.44% and 3 month LIBID 0.61%

**Borrowing**

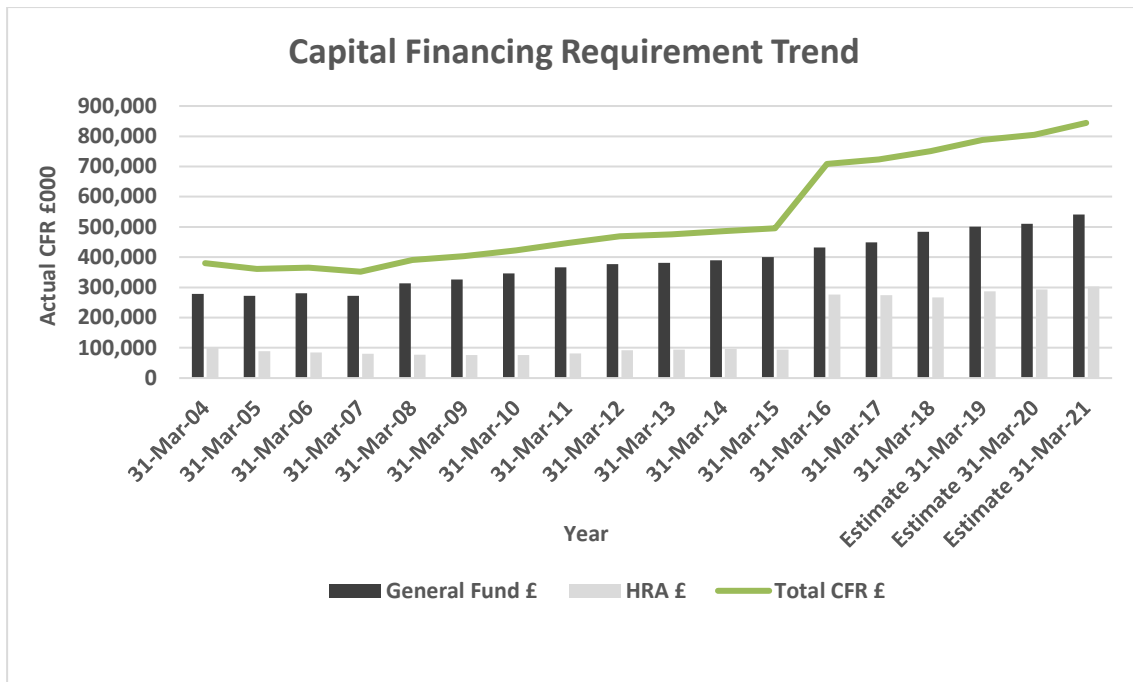
4.1 Long term borrowing is undertaken to finance the Council's Capital Programme and the main sources of borrowing currently are the PWLB and the Money Markets. The Council does not separate General Fund and Housing Revenue Account borrowing as all borrowing is the liability of the Council i.e borrowing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

4.2 Where capital expenditure has been incurred without a resource to pay for it immediately e.g. via capital receipts, grants or other contributions, this will increase what is termed the Council's Capital Financing Requirement (CFR) or its need to undertake borrowing. The Council is required to make an annual prudent provision for the repayment of historic capital expenditure from its revenue budget and set this at a level that considers previous and future borrowing commitments as well as the period over which the benefits of capital expenditure are expected. This reduces the CFR. Calculation of the CFR is summarised in the following table and results in the need to borrow money.

	<i>Opening Capital Financing Requirement (CFR)</i>
<b>+</b>	Capital expenditure incurred in year
<b>-</b>	Grants, contributions, reserves and receipts used for capital expenditure
<b>-</b>	Prudent Minimum Revenue Provision & Voluntary Repayment
<b>=</b>	<i>Closing Capital Financing Requirement (CFR)</i>

4.3 The CFR forecast is subject to the timing of capital expenditure, capital receipts and new schemes that may be considered for approval in future years. It can be seen that the Council's underlying need to borrow is increasing and will need to be repaid from future revenue budgets either from savings, revenue income or Council Tax and Housing Rents.

4.4 The historic trend in the CFR is shown with the increase in 2015/16 reflecting the Housing Revenue Account subsidy buyout as reported previously.



- 4.5 At 30 September 2018, the Council had £689.6 million of external borrowing predominantly made up of fixed interest rate borrowing from the PWLB payable on maturity.

31-Mar-18			30-Sep-18	
£m	Rate (%)		£m	Rate (%)
631.8		Public Works Loan Board	628.5	
51.0		Market (Lender Option Borrower Option)	51.0	
4.6		Welsh Government	4.6	
5.9		Other	5.5	
<b>693.3</b>	<b>4.64</b>	<b>Total External Debt</b>	<b>689.6</b>	<b>4.63</b>

New borrowing undertaken during the year to date

- 4.6 Interest free loans of £0.11 million from Salix have been received for project specific energy schemes.

Maturing Loans in year to date

- 4.7 **Annexe D** shows the maturity profile of the Council's borrowing as at 30 September 2018. Loans of £3.7 million have been repaid in the first half of this year, a further £0.81 million is due to be repaid by 31 March 2019. Unless the Council's Lender Option Borrower Option loans (LOBO's) are required to be repaid early, very little debt matures within the next 10 years.

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

<b>£m</b>	<b>Potential Repayment Date</b>	<b>Option Frequency</b>	<b>Full Term Maturity</b>
6	21/11/2018	6 months	21/11/2041
6	21/11/2018	6 months	21/11/2041
6	21/11/2018	6 months	23/05/2067
6	01/03/2019	6 months	23/05/2067
22	23/11/2020	5 years	23/11/2065
5	16/01/2023	5 years	17/01/2078

- 4.11 LOBO's to the value of £24 million are subject to the lender potentially requesting a change in the rate of interest payable every six months, which could trigger early repayment. This is deemed unlikely and any risk is a manageable refinancing risk as LOBOs in total, form a relatively low proportion of the Council's overall borrowing at 7.4%.

Borrowing Strategy

- 4.12 The borrowing strategy outlined in the February 2018 budget report indicated that:-

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

*In order to mitigate against the risk of borrowing rates rising faster than currently anticipated, external borrowing (short medium and long term) for an element of the Council's borrowing requirement will be taken as has been done in previous years. This will aim to keep internal borrowing to approximately 10% or less of the forecast Capital Financing Requirement for 2018/19.*

*Any external borrowing will consider the balance between fixed rates and variable rates to meet the long term borrowing policy aims identified in this report previously. Fixed rates would be taken if the borrowing need is high and rates are likely to increase, and conversely variable rates, if any borrowing need is temporary and rates are likely to fall.*

- 4.13 As shown in the interest rate forecasts set out in paragraph 2.2, long term borrowing rates are higher than investment rates which means that the cost of undertaking new borrowing would have a negative impact on the revenue budget. External borrowing may be deferred in order to minimise short term costs by using temporary cash balances to pay for capital expenditure rather than placing in an investment. This is termed 'internal borrowing'. However deferring borrowing is only a short term measure and could expose the Council to higher borrowing rates and costs in the future. The Council has taken an approach of undertaking external borrowing for an element of any borrowing requirement to mitigate any such risk.
- 4.14 If no further PWLB or Market borrowing is undertaken, the value of external loans at 31 March 2019 will be £689 million. At the same point, the Council's need to borrow for capital expenditure purposes, its Capital Financing Requirement (CFR), is currently forecast to be circa £785 million (General Fund £500 million and HRA £285 million). Without any further borrowing this financial year internal borrowing would be £96 million. In order to ensure this is manageable, it is currently anticipated that borrowing of circa £20 million will be undertaken during the second half of 2018/19.
- 4.15 The estimated total interest payable on borrowing for 2018/19 is £32.2 million which includes interest payable by the Housing Revenue Account.

### **Debt Rescheduling**

- 5.1 No debt rescheduling or early repayment of debt has been undertaken to date in 2018/19. The main obstacle remains the level of premium (penalty) that would be chargeable on early repayment by the PWLB. Of the existing PWLB loans of £628 million, £419 million are eligible for early repayment. However this would incur a premium of £311 million as at 30 September 2018. This premium is payable primarily because:-
- Interest rates on loans of equivalent maturities compared to those held are currently lower
  - A penalty rate or lower early repayment rate was introduced by HM Treasury in November 2007, which increased the cost of premiums and reduced the flexibility of Local Authorities to make savings. This remains an obstacle in the ability of local authorities to manage debt more effectively.
- 5.2 Whilst the cost of Premiums can be spread over future years, options for restructuring that have been considered result in an adverse Net Present Value (NPV). Whilst there may have been short terms savings, these were outweighed by potentially longer term costs and not deemed cost effective.

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

- 6.1 During the financial year to date, the Council has operated within the treasury limits and prudential indicators set out in the annual Treasury Management Strategy in February 2018. The treasury and capital prudential indicators will be updated as part of the 2019/20 capital and treasury strategies in the Budget Report to Council in February 2019.
- 6.2 Following Housing Finance Reform the Council complies with an indebtedness cap in the Housing Revenue Account of £316.5 million. This and the affordability of additional investment will need to be monitored closely as part of the Treasury Strategy and HRA Business Planning process. Following the recent announcement about abolition of the Cap in England, the Welsh Government are waiting further details from HM Treasury to understand how this affects Local Housing Authorities in Wales and the timescales.

## **Treasury strategy, accounting and Treasury Management Code update for the remainder of 2018/19**

- 7.1 The Treasury Strategy approved in February 2018 remains valid. The use of temporary cash balances instead of borrowing to pay for capital expenditure continues to result in short term savings. However, given uncertainty in interest rates, the Council will take an element of its external borrowing requirement over the second half of the year.
- 7.2 CIPFA have made changes to the Treasury Management Code in 2017. The main change relates to clarifying that the definition of 'Investments' includes both:
- Treasury Management investments (as historically included in this Strategy, as well as
  - Investments made for policy reasons and managed outside of normal treasury management activity.
- 7.3 The changes are primarily in response to increasing commercialisation activities undertaken by a number of Local authorities. Examples of investments made for policy reasons and managed outside of normal treasury management activity include:-
- 'service investments' held in the course of provision and for the purposes of operational services
  - 'commercial investments' which are taken mainly for financial reasons. These may be shares and loans in business structures e.g. subsidiaries; investments explicitly taken with the aim of making a financial surplus for the Council; non financial assets such as investment properties held primarily for financial benefit.
- 7.4 The Code requires that these investments should be proportional to the level of resources available to the organisation and the organisation should ensure that robust procedures for the consideration of risk and return are

applied to these decisions. The Code requires that all investments have an appropriate investment management and risk management framework. This includes making it explicit in any decision making:-

- the powers under which investment is made
- the governance process including arrangements in place to ensure appropriate due diligence to support decision making
- the extent to which capital invested is placed at risk
- the impact of potential losses on financial sustainability
- the methodology and criteria for assessing performance and monitoring process
- how knowledge and skills in managing such investments is arranged and that these are monitored, reported and highlighted explicitly in the decision making process and due diligence.

7.5 It is also prudent that treasury management is carried out in accordance with good professional practice. These changes in the Code will be implemented as part of development of the Treasury Management Strategy, Investment Property Strategy and Treasury Management Practices for 2019/20. The Council will be requested to adopt the revised CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes 2017.

7.6 In parallel with the above changes, The Council will need to consider the impact of revised accounting standards, introduced primarily to address complex financial instruments and their valuation and presentation in financial accounts of organisation. The investments currently held by the Council are not deemed complex. Accordingly the changes are not expected to have a material impact on the Council's Statement of Accounts or financial position for 2018/19.

## **Annexes**

Annexe A – Treasury Management Policy and Four Clauses of Treasury Management

Annexe B – Investments at 30 September 2018

Annexe C – Investment Charts at 30 September 2018

Annexe D – Maturity Analysis of Borrowing as at 30 September 2018

Annexe E – Glossary of Treasury Management terms



**Treasury Management Policy and Four Clauses of Treasury Management adopted by Council 25/02/2010**

**Council's treasury management Policy / Activities**

1. This Council defines its treasury management activities as: the management of its investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
2. This Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications.
3. This Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

**Four Clauses of Treasury Management**

4. In compliance with the First Clause, this Council will create and maintain, as the cornerstones for effective treasury management:-
  - A treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
  - Suitable Treasury Management Practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities
5. In compliance with the Second Clause, this Council will receive reports on its treasury management policies, practices and activities, including, as a minimum, an annual strategy in advance of the year, a mid-year review and an annual report after the year's close, in the form prescribed in its TMPs.
6. In compliance with the Third Clause, this Council delegates responsibility for the implementation and regular monitoring of its treasury management policies and practices to the Executive, and for the execution and administration of treasury management decisions to the Corporate Director Resources in accordance with existing delegations, who will act in

accordance with the Policy Statement, TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

7. In compliance with the Fourth Clause, this Council requires the scrutiny of the accounting, audit and commercial issues of its Treasury Management Strategy and Practices to be undertaken by the Council's Audit Panel due to the technical nature of the documents.

Yn rhinwedd paragraff (au) 14, 21 Rhan (nau) 4 a 5 o Atodlen 12A  
o Ddeddf Llywodraeth Leol 1972.

Mynediad Cyfyngedig i'r Ddogfen

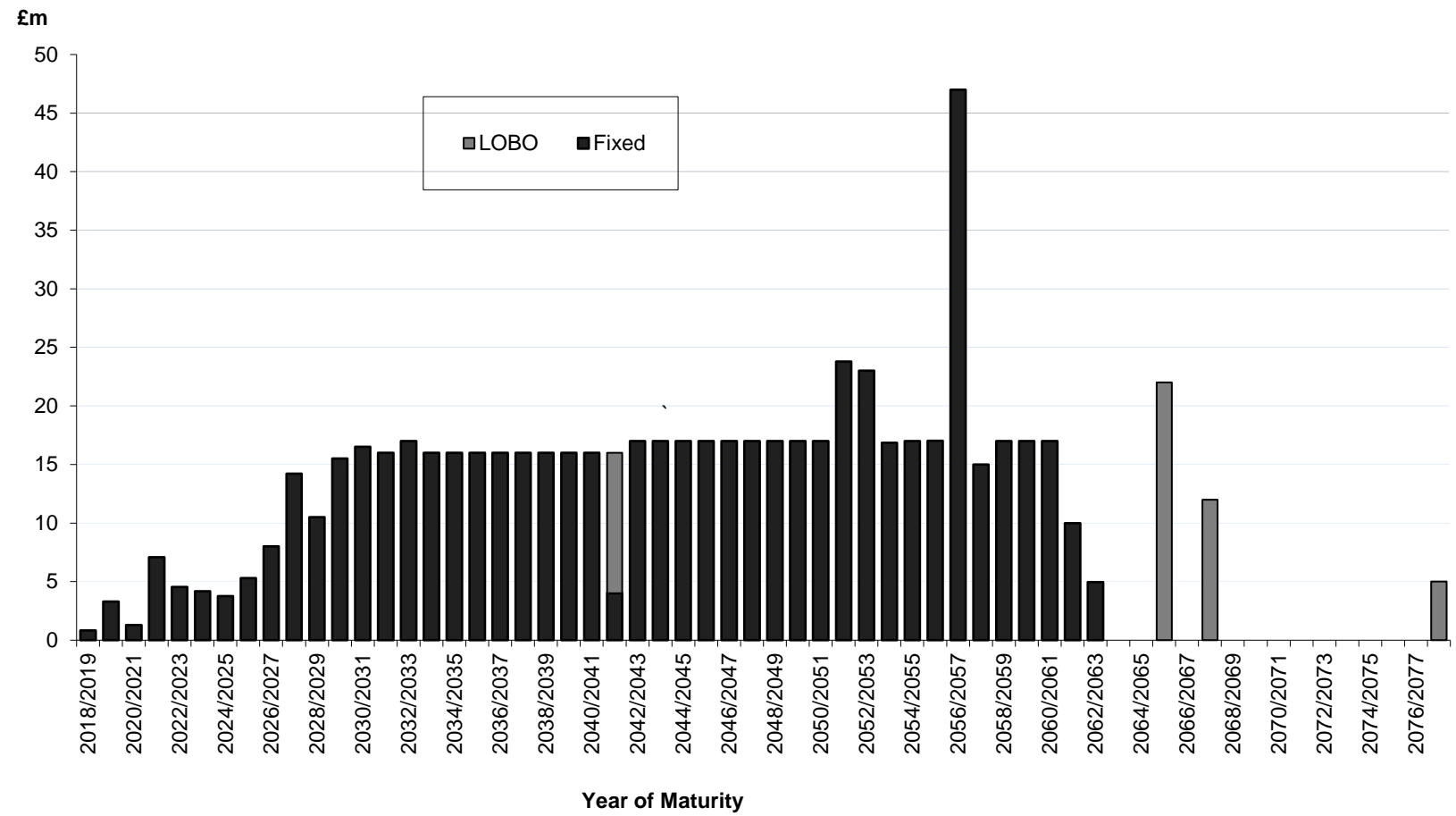
Mae'r dudalen hon yn wag yn fwriadol

Yn rhinwedd paragraff (au) 14, 21 Rhan (nau) 4 a 5 o Atodlen 12A  
o Ddeddf Llywodraeth Leol 1972.

Mynediad Cyfyngedig i'r Ddogfen

Mae'r dudalen hon yn wag yn fwriadol

Maturity Profile of Debt at 30 September 2018



Mae'r dudalen hon yn wag yn fwriadol



### Glossary of Terms - Treasury

#### **Bank Rate**

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

#### **Bonds**

A long-term debt security issued by a company, a financial institution, a local authority, national government or its affiliated agencies. It represents an undertaking to repay the holder the fixed amount of the principal on the maturity date plus a specified rate of interest payable either on a regular basis during the bond's life (coupon) or at maturity.

#### **Borrowing**

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

#### **Capital Expenditure**

Capital expenditure pays for improvements to existing and new assets used in the delivery of Council services as well as other items determined by Regulation. Capital resources are scarce, costly and also have long term revenue implications over many years and even generations where capital expenditure is funded by borrowing. Hence the requirement of the Prudential Code to ensure what is charged as Capital Expenditure is Prudent, Sustainable and Affordable.

The statutory definition of capital expenditure is given in the Local Government Act 2003, the Local Authorities (Capital Finance) Regulations 2003 and 2004 as amended. Statute relies on the accounting measurement of cost in International Accounting Standard (IAS) 16 to determine whether expenditure is eligible to be capitalised or whether it should be treated as revenue expenditure. Key to what is eligible as capital spend are the following words in IAS 16 - 'Costs directly attributable to bringing the specific asset into working condition for its intended use'.

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

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

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

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

### **Counterparty**

One of the parties involved in a financial transaction.

### **Credit Criteria**

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

### **Credit Rating**

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

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

The Debt Management Office provides this service as part of its cash management operations and of a wider series of measures designed to improve local and central government’s investment framework and cash management. The key objective of the DMADF is to provide users with a flexible and secure facility to supplement their existing range of investment options while saving interest costs for central government.

### **Debt Restructuring**

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

### **Diversification of Investments**

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

### **Duration (Maturity)**

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

### **External Borrowing**

Money borrowed from outside of the Council.

### **Financial Instrument**

Any contract that gives rise to a financial asset of one entity and a financial liability or equity instrument of another. Typical financial liabilities are borrowing and financial guarantees. Typical financial assets include bank deposits, amounts owed by customers, loans receivable and investments.

### **Fitch Credit Ratings**

A commercial organisation providing an opinion on the relative ability of an entity to meet financial commitments, such as interest, preferred dividends,

repayment of principal, insurance claims or counterparty obligations. The opinion is usually provided in the form of a credit rating.

### **Fixed Rate**

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

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

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

### **Internal Borrowing**

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

### **Investments**

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

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

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

### **Liquidity**

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

### **Market Loans**

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

### **Minimum Revenue Provision**

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

### **Money Market Funds**

An investment fund which pools the investments of numerous depositors, spreading those investments over a number of different financial instruments and counterparties. Funds with a constant Net Asset Value (NAV) are those where any sum invested is likely to be the same on maturity. Funds with a

variable Net Asset Value (NAV) are those where the sum on maturity could be higher or lower due to movements in the value of the underlying investments.

### **Net Asset Value**

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

### **Pooling**

The process whereby investments or loans are held corporately rather than for specific projects or parts of the Council, with recharges to those areas for their share of the relevant income and expenditure using an agreed methodology, where such a recharge is required to be made.

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

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

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

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

### **Security**

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

### **Sovereign Credit Ratings**

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

### **Specified Investments**

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

### **Sterling**

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

### **Term Deposits**

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

### **UK Government Gilts**

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

### **Variable Rate**

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

### **Yield**

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

Mae'r dudalen hon yn wag yn fwriadol

**CARDIFF COUNCIL  
CYNGOR CAERDYDD****AUDIT COMMITTEE:****13 NOVEMBER 2018**

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**TREASURY PERFORMANCE REPORT – POSITION AT 31  
OCTOBER 2018****REPORT OF CORPORATE DIRECTOR RESOURCES****AGENDA ITEM: X.X**

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**Appendix 1 of this report is not for publication as it contains exempt information of the description in paragraphs 14 and 21 of Schedule 12A of the Local Government Act 1972.**

**Reason for this Report**

1. The Audit Committee Terms of Reference sets out their responsibility for undertaking scrutiny of the accounting, audit and commercial issues in relation to the Council's Treasury Management Strategy and practices.
2. This report has been prepared to provide Audit Committee Members with performance information and a position statement on Treasury Management as at 31 October 2018.

**Background**

3. Appendix 1 provides the Committee with position statements on investments and borrowing at 31 October 2018.

**Performance**

4. At 31 October 2018, net investments total £52.5 million. The estimated level of interest receivable from treasury investments is £485,000 including interest earned on behalf of other entities. This is compared to a budget of £275,000. The forecast is based on current levels of investments and cash flow forecasts.
5. Borrowing is £694.5 million, with the average rate being 4.62%. The total interest forecast to be payable is £32.2 million compared to a budget of £32.4 million. The variance is due to deferral of the timing of additional external borrowing in 2018/19. Long term borrowing £5.4 million was taken in October and a further £14.6 million proposed to be undertaken before the end of the financial year. Deferring external borrowing and maximising internal borrowing results in short term revenue savings.
6. Based on the above forecasts, the projected level of internal borrowing at 31 March 2019 at Month 6 is £76 million.

## Investments

7. Pages 2 and 3 of both Performance Reports consider the position on investments. The charts on the Performance Report show the position at a point in time and investments continue to be closely monitored.
8. The current investments list details each investment, the interest rate, the start date and maturity date. They also link this back to the credit criteria approved by Council in February 2018 by a colour coding which indicates the perceived strength of the organisation.
9. The balance of investments is at a point in time and will fluctuate depending on the timing of income and expenditure e.g. payments to suppliers, receipt of grants, capital receipts etc.
10. The charts that surround this table provide additional information and the key areas to highlight are shown below.
  - **Counterparty Exposure** displays actual investment against the maximum permitted directly with an organisation – This demonstrates that we are not exceeding any exposure limits.
  - **Remaining Maturity Profile of Investments.** Maturities of investments have been spread to achieve a balanced profile.
  - **Investments by Institution.** This expresses the investments held with different institutions as a percentage of the total. It can be seen that investments remain diversified over a number of organisations.
  - **Geographic Spread of Investments** as determined by the country of origin of relevant organisations. All countries are rated AA and above as per our approved criteria.
  - **Investments by Financial Sector.** The majority of investments are with banks.

## Borrowing

11. Since the last report for August 2018, maturing borrowing of £0.5 million has been repaid and £5.4 million new borrowing has been undertaken. As set out in the Council's Treasury Management Strategy for 2018/19, considered by audit committee and approved by Council in February 2018, further external borrowing is required in 2018/19.
12. The timing and quantum of any new external borrowing will be considered in conjunction with the Council's treasury advisors, having regard to forecasts for interest rates and performance in delivering the capital programme. Updates would be provided in future reports to Committee.

## Reason for Report

13. To provide Audit Committee Members with a performance position statement at 31 October 2018.

## Legal Implications



14. No direct legal implications arise from this report.

### **Financial Implications**

15. Treasury management activities undertaken by the Council are governed by a range of policies, codes of practice and legislation. This report and appendices indicates the treasury management position at one point in time and makes a number of assumptions in forecasts which will be updated in future reports. The report provides a tool for indicating to Members the treasury position. Future reports will highlight main changes since this report.

### **RECOMMENDATIONS**

16. That the Treasury Performance Report for 31 October 2018 be noted.

**CHRISTINE SALTER**  
**CORPORATE DIRECTOR RESOURCES**  
**5 November 2018**

*The following appendix is attached*  
Appendix 1 – Cardiff Council Treasury Management Performance Report – 31  
October 2018

Mae'r dudalen hon yn wag yn fwriadol

Yn rhinwedd paragraff (au) 14, 21 Rhan (nau) 4 a 5 o Atodlen 12A  
o Ddeddf Llywodraeth Leol 1972.

Mynediad Cyfyngedig i'r Ddogfen

Mae'r dudalen hon yn wag yn fwriadol

**AUDIT COMMITTEE: 13 November 2018**

**INTERNAL AUDIT PROGRESS REPORT, 2018-19**

**REPORT OF THE HEAD OF FINANCE**

**AGENDA ITEM: 10.1**

**Appendices C, D and E of the report are not for publication as they contain exempt information of the description in paragraphs 14 and 21 of Schedule 12A of the Local Government Act 1972**

**Reason for this Report**

1. Audit Committee's Terms of Reference requires that Members consider reports from the Audit Manager on Internal Audit's performance during the year.
2. This report has been prepared to provide Audit Committee Members with an update on the work of Internal Audit as at 19 October 2018 for the current financial year.

**Background**

3. An Audit Plan is prepared each year in order to provide a measure of the work performed by the Internal Audit function. It is important that the plan allows for flexibility and the application of professional judgement to enable work to be prioritised, in order to maximise the use of audit resources and add most value to the organisation in targeting changing risks.
4. The Head of Finance prepares quarterly progress reports, outlining the work undertaken by the audit teams in the capacity of Acting Audit Manager. Following a successful appointment process, a full-time Audit Manager has been in place from 1<sup>st</sup> October 2018, who following the formalisation of reporting lines, will provide the quarterly update to Audit Committee.
5. In line with the provisions of the Public Sector Internal Audit Standards (1100), organisational independence has been maintained as the Head of Finance has reported functionally to the Audit Committee for audit-related matters. This has involved Audit Committee approving key documents, such as the Audit Charter and Plan, and receiving and considering information on audit performance, findings and issues.
6. The new Audit Manager reports administratively to the Head of Finance and will report functionally to the Audit Committee for audit-related matters.
7. The progress report is prepared to provide a meaningful update on the work of Internal Audit. It provides an opportunity to consider emerging risks, issues and sources of assurance, and potentially refocus priorities. Prior to presentation to Audit Committee, the progress report is discussed with the Corporate Director Resources.

## Issues

8. Over the last two years, the Internal Audit section has reported directly to the Head of Finance, who has provided managerial and strategic leadership as Acting Audit Manager. Following a successful recruitment process, from 1<sup>st</sup> October 2018 a full-time Audit Manager has been in place who is not responsible for managing any functions beyond the Investigations and Internal Audit teams. The Audit Manager reports administratively to the Head of Finance and will report functionally to the Audit Committee for all audit-related matters. Section 3.4 of the Progress Report, provides further information on the formalisation of these reporting lines.
9. The accompanying Internal Audit Progress Update (Annex 1) sets out performance in relation to the Internal Audit Plan, for the period to 19 October 2018. It summarises the work performed, the priority recommendations raised, the critical findings and emerging trends across the Council, for the assurance of the Audit Committee.

### Performance

10. **Appendix A** shows the list of audit reports issued from April to 19<sup>th</sup> October 2018, and the following paragraphs outline the key messages from the progress update. Fifty-seven reports have been issued for the period covered, twelve of which have been for audits of financial accounts or grants. Internal audit has issued an opinion of effective or effective with opportunity for improvement in 82% of the audit opinions provided.
11. **Appendix B** shows the proposed audit plan as at 19<sup>th</sup> October 2018. This follows a review by the Audit Management Team in October 2018, which reflected on the findings of audit work completed in the financial year to date, and the sources of assurance and emerging risk information gained through relationship management client meetings. It resulted in the proposed reallocation of days held for value for money audit purposes, and the use and distribution of unallocated audit days.
12. In accordance with the Internal Audit Charter, the Audit Manager is delegated authority to make in-year changes to the Internal Audit Plan, with Audit Committee approval required for audit engagements of more than 10 audit days. The following proposed value for money audit allocations, follow a review by the Internal Audit Team, for which approval is requested from the Audit Committee.

Audit	Original plan days	Revised plan days
VFM in Enforcement	0	15
VFM – Workforce deployment	0	20
VFM – Agency, Consultants, Interims	10	15

13. At the reporting date, there have been 653 recommendations made to audit clients this year.
  - **Appendix C** - This shows the red and red / amber recommendations that are not yet complete. A greater proportion of recommendations outstanding are of an Amber / Green risk rating.
  - **Appendix D** - This shows the red and red / amber recommendations completed since the last Audit Committee in September 2018.

- **Appendix E** - This shows the red and red / amber recommendations with revised action dates of which 28 Red or Red / Amber recommendations are not yet completed. One red recommendation is outstanding following a revised action date.

14. It is recognised that there has been a notable decrease in the percentage of audit reports delivered within six weeks (at 63%), and the percentage of audit recommendations implemented within the agreed timescale (at 56%). Part of the reason for each of these reductions is attributed to the school holiday period, where schools close for the summer period and auditors and key officers typically take a greater proportion of their leave.
15. Whilst a performance dip was anticipated for quarter 2, this ground needs to be recovered. The expectations of the Audit Manager have been clearly communicated to each auditor to take responsibility for delivering their portfolio of audits, and follow up on the delivery of client recommendations. The Audit Manager and Group Auditor are in the process of discussing each auditor's progress against the audit plan as part of the mid-year Personal Reviews. An emphasis has been made to the Audit Team on the delivery of their audit plan.

### Governance

16. In **Appendix F**, the Internal Audit Charter has been reviewed to recognise the commencement of the new Audit Manager in respect of the 'organisation' and the 'audit activity and reporting lines'. These interim changes are proposed for Audit Committee approval, to recognise the authority and responsibility of the Audit Manager. The wording proposed for removal is crossed through and new proposed wording is underlined and in bold print. A full review of the Audit Charter will take place in preparation for Audit Committee Approval in January 2019.
17. As part of the Quality Assurance and Improvement Programme, there is a programme of ongoing monitoring and an annual self-assessment of conformance with the Code of Ethics and the Standards. A self-assessment was undertaken in quarter two, and the action plan arising from the assessment is attached as **Appendix G**. A management response has been included against each of the recommendations from the self-assessment, and is included for Audit Committee information.
18. Investing in the Internal Audit team continues to be a priority. Most of the team are qualified accountants (CIPFA) or accounting technicians and there is one qualified IIA member in the team. Four auditors are being supported in their pursuit of the IIA (Institute of Internal Auditors) qualification to strengthen the balance of background team skills.

### Proposed School Governance Mechanism

19. A proposed 'School Assurance Mechanism' has been developed to support the Audit Committee to communicate and reinforce expectations to Schools where concerns have been identified (included in 3.3 of Annex 1). The proposed mechanism is largely correspondence-based, recognising that the capacity of Audit Committee meetings is limited, with a busy agenda needed to deliver the Audit Committee role. It would involve Audit Committee Chairperson Letters to the respective Chair of Governors and the Director of Education to seek a commitment to addressing, monitoring and managing concerns raised. On a biannual basis, the Director of Education and Lifelong Learning will then provide an overall assurance report to Audit Committee. This is with the understanding that the Committee can request the attendance of accountable

individuals at a Committee meeting in the event that the assurances are not considered as acceptable.

### **Legal Implications**

20. There are no legal implications arising from this report.

### **Financial Implications**

21. There are no direct financial implications arising from this report.

### **RECOMMENDATIONS**

22. That the Audit Committee:

- a. Notes the contents of the Progress Report
- b. Approves the proposed changes to the Audit Plan for 2018/19
- c. Approves the proposed modifications to the Audit Charter
- d. Notes the proposed School Assurance Mechanism.

**IAN ALLWOOD**  
**HEAD OF FINANCE**  
13 November 2018

The following are attached:

- Annex 1:** Internal Audit Progress Report, 2018-19  
**Appendix A:** Reports Issued  
**Appendix B:** Audit Plan as at 19<sup>th</sup> October 2018  
**Appendix C:** Red & red / amber recommendations open  
**Appendix D:** Red & red / amber recommendations completed since the last Audit Committee  
**Appendix E:** Red & red / amber recommendations with revised action dates  
**Appendix F:** Audit Charter  
**Appendix G:** PSIAS Self-Assessment





## RESOURCES DIRECTORATE INTERNAL AUDIT SECTION

### Internal Audit Progress Report 2018/19 (as at 19 October 2018)

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<b>Appendix F</b>	Audit Charter
<b>Appendix G</b>	PSIAS Self-Assessment

Prepared by: **Ian Allwood, Head of Finance**

# INTERNAL AUDIT PROGRESS REPORT

## 1. INTRODUCTION

### 1.1 Background

The Internal Audit plan for 2018/19 was approved by the Audit Committee at its meeting in March 2018. The plan provides the framework for audit work in the forthcoming year and is aligned to the Council's corporate governance arrangements, whilst also being responsive to any changes to the risks faced by the Council during the year.

The Internal Audit plan for 2018/19 is made up of a total of 2,706 days, with a total of 2,100 chargeable days for the audit team being agreed.

This report serves to provide an update on progress against the plan to 19<sup>th</sup> October 2018.

### 1.2 Independence and objectivity

Until 30<sup>th</sup> September 2018, the Internal Audit section reported directly to the Head of Finance as Acting Audit Manager. In line with the provisions of the Public Sector Internal Audit Standards (1100), organisational independence was maintained as the Head of Finance has reported functionally to the Audit Committee for audit-related matters. For all other matters, the Head of Finance has reported to the Corporate Director, Resources. There were no impairments of independence or objectivity.

From 1<sup>st</sup> October 2018, an Audit Manager has been appointed to manage the Internal Audit section. The Audit Manager is not responsible for managing any functions beyond the Investigations and Internal Audit teams. The Audit Manager reports administratively to the Head of Finance and will report functionally to the Audit Committee for audit-related matters. Section 3.4 of the Progress Report provides further information on the formalisation of these reporting lines.

### 1.3 Continuing Professional Development

Personal review objectives for 2018/19 were discussed and agreed with the members of the team by the end of June 2018, with training and development objectives identified and taken into account in the allocation of training courses this year.

The six month personal reviews for 2018/19 are now due, and meetings with the team have been arranged to discuss progress against agreed objectives, determine whether any revisions to these objectives are required, and to identify relevant training needs.

## 2. SUMMARY OF WORK PERFORMED

### 2.1 Current Activities

The report to Audit Committee in March 2018 set the scene for audit coverage for the year and planned assignments have been set up in the audit planning, monitoring and control database. Priority was given to any audits planned for 2017/18 but not completed during that year.

All auditors continue to be allocated three months' work at the end of the previous quarter with an expectation their assignments will be effectively managed and delivered within that time scale. This approach focuses on outcomes, and improving the timeliness of audit reporting.

**Appendix A** shows the list of audit reports issued from April to 19<sup>th</sup> October 2018. This includes assignments carried forward from 2017/18, which were prioritised accordingly in this year's plan.

The opinions given in reports issued to 19<sup>th</sup> October 2018 are shown below.

	Number of reports	Opinion				Other work undertaken
		Effective	Effective with opportunity for improvement	Insufficient with major improvement needed	Unsatisfactory	
Draft reports issued	7	2	1	2	1	1
Final reports issued	50	14	20	4	1	11
<b>TOTAL</b>	<b>57</b>	<b>16</b>	<b>21</b>	<b>6</b>	<b>2</b>	<b>12</b>

Further to the table above, the 'other work undertaken' comprised the following:

	Audit	Comments
1.	Norwegian Church Preservation Trust 2015 -17	Audit of accounts for 2015/16 and 2016/17
2.	Review of banking arrangements – Shirenewton	Briefing paper on income and banking
3.	Joint Committee – Glamorgan Archives	Audit to support the Statement of Accounts
4.	Joint Committee – Prosiect Gwyrdd	Audit to support the Statement of Accounts
5.	Joint Committee – Port Health	Audit to support the Statement of Accounts
6.	Summary report – thematic reports in Education	Director report on themed audits in schools

7.	Welsh Local Government Association	Advice and guidance
8.	Flying Start	Audit of processes and procedures
9.	City Deal (CCRCDD)	Audit for 2017/18 as part of agreed SLA
10.	Asset Management	Draft report in discussion with management
11.	Cardiff Further Education Trust Fund	Audit of accounts 2017/18
12.	Rent Smart Wales	Provision of Consultation and Training

## 2.2 Annual plan

The annual audit plan was agreed by Audit Committee at its meeting in March 2018 and was based upon the assurance mapping exercise, which is carried out at periodic intervals during the preceding year. The PSIAS (2010) requires the risk-based plan to take into account the organisation's assurance framework with the work of internal audit addressing both local and national issues.

In developing the annual plan, sources of assurance from within and outside the Council are considered, to enable informed decisions to be taken on the audits required. The process of 'assurance mapping' (using the 'three lines of defence' model) also captures emerging risks and issues as they arise during the year, so that the plan can be adapted where appropriate during the year. These changes are brought to the Audit Committee as they arise.

At this mid-year position, the annual plan has been reviewed to determine the most appropriate use of unallocated audit days for general assurance and value for money audit purposes. Audit insight has been used to identify areas of high risk, through the findings of audit work completed in the financial year to date, and the identification of sources of assurance and emerging risk information provided through the relationship management client meetings. These changes also account for the ongoing secondment of a Principal Auditor. **Appendix B** shows the revised plan as at 19<sup>th</sup> October 2018 subject to the following adjustments.

### Adjusted General Audit Allocations

The annual plan contained a provision of unallocated days for each directorate, to enable audit engagements to be established on a risk-basis as the year progressed. Based on the level of audit coverage in the year to date and planned for the remainder of the year, some of these indicative allocations have been made available for general audit purposes to be allocated at a future date.

The days allocated for partnership and collaborative in contracts have also been made available for other audits in recognition of the audit coverage in directorate partnership and collaborative governance commissioning and procurement.

The audit of the Sports Joint Venture is to be deferred due to the work that is planned by Wales Audit Office on Leisure Services (a follow up to work previously undertaken). The audit of Independent Living has also been deferred until 2019/20 as Wales Audit Office are due to begin an audit of this area in Q3. Three audits have been added from use of general audit days, comprising audit work on National Fraud Initiative (NFI) data matching in respect of Payroll and Creditors, and an audit relating to the Youth Innovation Grant.

Audit	Original plan days	Revised plan days	Days taken from / given to
People and Communities – TBC	5	0	General
Contracts – TBC	20	0	General
Social Services – TBC	130	60	General
Contracts – partnerships and collaborative governance	50	0	General
Sports Joint Venture	15	0	General
Independent Living	10	0	General
NFI 2018 – payroll	0	5	General
NFI 2018 – creditors	0	5	General
Youth Innovation grant	0	10	General

Proposed Value for Money Audit Adjustments

The annual plan included a number of audit days proposed for value for money studies in each directorate in Q4. Prior to allocating these days, a review has taken place to account for the insight of the audit team through their work, findings and discussions with key officers and managers this year. Through this review, it was concluded that a number of audits have already supported an assessment of value for money, with the economy, efficiency and effectiveness forming a standard part of most audit remits.

As an outcome of this review, it is proposed to re-assign the indicative directorate value for money allocations to undertake three cross-cutting value for money studies relating to

enforcement, workforce deployment and agency – consultancy - interim officers this year. This latter engagement represents an extension of an planned audit of agency officers, to include consultants and interim officers. Members will also be mindful that an audit of enforcement was considered in 2017/18 following work undertaken by the Environmental Scrutiny Committee in September 2017.

In accordance with the Internal Audit Charter, the Audit Manager is delegated authority to make in-year changes to the Internal Audit Plan, whilst requiring Audit Committee approval for audit engagements of more than 10 audit days. Accordingly, approval is sought from Audit Committee for the proposed value for money audits.

<b>Audit</b>	<b>Original plan days</b>	<b>Revised plan days</b>	<b>Days taken from / given to</b>
People and Communities – VFM studies	20	0	General
Economic Development – VFM studies	10	0	General
Education – VFM studies	25	0	General
Governance and Legal Services – VFM studies	10	0	General
Planning, Transport and Environment – VFM studies	20	0	General
Resources – VFM studies	10	0	General
Social Services – VFM studies	25	0	General
VFM in Enforcement	0	15	General
VFM – Workforce deployment	0	20	General
VFM – Agency, Consultants, Interims	10	15	General

### 2.3 Critical findings or emerging trends

In accordance with PSIAS, Internal Audit is required to report to Audit Committee on critical findings or emerging trends, and based on the work undertaken since the last audit progress report, these details are provided below.

The thematic reviews of partnerships and collaborative governance are largely complete, and have been undertaken using a common terms of reference across directorates, through which a

common audit opinion of 'effective with opportunity for improvement' has been reported in the reports issued to date.

For the reviews completed, the core finding was that whilst there are examples of good practice, to support improved partnership and collaborative governance across the Council there is a need for further corporate guidance. It is considered that though establishing the key governance principles for successful partnership and collaborative working there is the opportunity to strengthen accountability and risk management, and to rationalise working arrangements. As a result of the audit work there is a corporate commitment to develop guidance to help Council officers understand the levels of governance appropriate to, and required by, the variety of arrangements they are engaged in.

Also on a governance theme, prior to undertaking detailed audit analysis on asset management assurance, following initial audit work, senior officers have been asked to consider the maturity of physical asset management. An asset management maturity model has been circulated to the senior management team, ahead of a planned audit for detailed testing in Q4.

At an operational level, some draft reports have raised compliance and control issues this quarter. An audit of catering income in school kitchens considered there were unsatisfactory controls for budget and income monitoring, resulting in delays in identifying and recovering debt and leading to an accumulation of arrears. The recommendations in this report are in the process of being agreed. An audit of mileage and subsistence has identified a need for officer vigilance in requesting and approving claims, with a number of instances of error or inconsistent application of Council policy identified. The Chief HR Officer has committed to providing a corporate communication on the policy and accountability responsibilities of Directorates, with all Directors notified of the findings for their areas.

A draft audit report has been issued on the Commercial Services Building Maintenance Charging Mechanism, which has recognised the activities which have been initiated to achieve strong cost analysis and control, and a sustainable framework for the contracted element of the service. A prudent draft audit opinion has been issued of 'insufficient with major improvement needed', which reflects the importance of the effective and sustainable conclusion of these activities.

## 2.4 Resources and training received

There were 1,380 days coded on auditor timesheets as at 19<sup>th</sup> October, against a pro-rata plan of 1,509 days. Of this, 939 days have been chargeable to audits (66%) and 31 related to non-audit duties (including Trades Union duties).

The Group Auditor attended a CIPFA Better Governance Forum in October 2018 on *Developing Internal Audit Professionalism and Effectiveness*. This included an update on the CIPFA Statement on the role of the Head of Internal Audit which is planned for issue by the end of 2018, following which it will be reviewed by the Audit Manager.

## 3. AUDIT PERFORMANCE AND ADDED VALUE

### 3.1 Added value

Relationship Manager meetings have been arranged with every Director and diarised for quarterly meetings throughout 2018/19. These are useful in progressing matters relating to audits completed and planned, and for discussing corporate and directorate risks, issues and areas for potential audit input.

Audit has issued 34 client questionnaires to 19<sup>th</sup> October 2018 and has received 24 responses (a response rate of 70.6%). One question asked of clients is whether they considered that the audit work added value to their service, and 79% of the respondents thought that the audits added value. The response of 'no' received since the last progress report related to a report where the client was aware of gaps in governance processes, and was in the process of improving procedures.

In the reports issued to date, there have been a total of 653 recommendations made to audit clients. **Appendix C** shows the red and red / amber recommendations that are not yet complete (including those that have not yet reached their proposed action date), and the RAG ratings for these are summarised in the table below.

Directorate	Actions still open	Red	Red / amber	Amber / green or green
Planning Transport and Environment	17	2	2	13
People and Communities	6		2	4
Corporate Governance	4		1	3
Economic Development	2			2
Education and Lifelong Learning	32	8	12	12



External and grants	4
Governance & Legal Services	4
Other assurance	14
Resources	20
Social Services	14
	117
Schools	82
TOTAL	199

	1	3
		4
1	8	5
	4	16
1	5	8
12	35	70
	27	55
12	62	125

**Appendix D** shows the red and red / amber recommendations that have been completed since the last Audit Committee in September 2018.

### 3.2 Performance and Benchmarking

The Audit team is a member of the Welsh Chief Auditors and Core Cities benchmarking groups for 2018/19. The outputs of the Welsh Chief Auditors Group were reported to the Audit Committee in June 2018 and the Audit Team is awaiting the output from the Core Cities benchmarking group.

The Internal Audit team also has internal key performance measures which are reported on a quarterly basis to Resources management team. The Council's performance targets for 2018/19 audit work and the actual outcome at the end of Q1 and Q2 are as in the table below:

Performance Indicator	2017/18 Outcome	2018/19 Target	Actual as at end of Q1	Actual as at end of Q2
The percentage of audit reports delivered within six weeks	74.6%	78.0%	80%	63%
The average number of audit productive days per employee	143.43	170.00	37.90	68.91
The average number of finalised audits per FTE (excluding schools' thematic reviews)	6.52	10.00	3.19	5.10
The percentage of audit recommendations implemented within the agreed timescale	86%	90%	76.92%	55.53%
The percentage of the audit plan completed (current plan)	75%	80%	24.22%	34.16%
<i>The percentage of the audit plan completed (original plan)</i>	75%	80%	25%	35.26%

It is recognised that there has been a notable decrease in the percentage of audit reports delivered within six weeks, and the percentage of audit recommendations implemented within the agreed timescale. Part of the reason for each of these reductions is attributed to the school holiday period, where schools close for the summer period and auditors and key officers typically take a greater proportion of their leave. Whilst a performance dip was anticipated for Q2, this ground needs to be recovered. The expectations of the Audit Manager have been clearly communicated to each auditor to take responsibility for delivering their portfolio of audits, and follow up on the delivery of client recommendations.

The Audit Manager and Group Auditor are in the process of discussing each auditor’s progress against the audit plan as part of the mid year Personal Reviews. An emphasis has been made to the Audit Team on the delivery of their audit plan.

### 3.3 Processes

The management information available from both SharePoint and DigiGOV has been used to provide performance management information for each auditor, the section as a whole, and the information provided in this report. Each of the performance indicators shown in the table above (for the team as a whole) are given to individual auditors at the end of the quarter, along with the auditor’s individual outcomes. These form part of the discussion with the auditors at the monthly meetings to discuss progress on assignments.

The table below shows, the instances where implementation dates have been revised by audit clients on SharePoint (as at 19.10.18). This reporting mechanism is used to monitor progress and target discussions on the effective management of risk management in relationship management meetings each quarter.

Directorate / Audit Category	Number of recommendations with revised dates	Actions now implemented	Actions still open
Education and Lifelong Learning	32	8	24
Social Services	22	2	20
Resources	5		5
People and Communities	1		1
Planning Transport and Environment	4	1	3
Economic Development	1		1
External and grants	2	2	
Fundamental	1		1

Other assurance	8	3	5
	76	16	60
Schools	92	69	23
TOTAL	168	85	83

**Appendix E** provides more detail on the red and red / amber recommendations with revised action dates, and detail of the amber / green and green recommendations is provided to Audit Committee via a separate route.

### School Governance Mechanism

In respect of Schools, the Audit Committee has recently requested the development of a governance approach, to communicate and reinforce Audit Committee expectations to School Headteachers and Governing Bodies, where concerns have been identified. This is with the recognition that the capacity of Audit Committee meetings is limited, with a busy agenda needed to deliver the Audit Committee role.

The proposed mechanism is largely correspondence-based, with letters written from the Audit Committee Chairperson seeking assurance from:

- The respective Chair of Governors, requesting a formal response and commitment to addressing any matters raised.
- The Director of Education and Lifelong Learning, requesting that concerns are reviewed, and an outline of the approach to be used to monitor and manage them.

On a wider systematic basis, the Audit Committee will require the Director of Education and Lifelong Learning to provide an overall assurance report to Audit Committee on a six monthly basis. This approach is designed with the understanding that the Committee can request the attendance of accountable individuals at a Committee meeting in the event that the assurances are not considered as acceptable.

### 3.4 Audit Charter

To recognise the commencement of the Audit Manager, the Internal Audit Charter has been reviewed in respect of the 'organisation' and the 'audit activity and reporting lines'. Interim

changes are proposed for Audit Committee approval, to recognise the authority and responsibility of the Audit Manager in **Appendix F**. The wording proposed for removal is crossed through and new proposed wording is underlined and in bold print. A full review of the Audit Charter will take place in preparation for Audit Committee Approval in January 2019.

### 3.5 Self-Assessment

Audit Committee will be aware that through a the recent peer review by the Chief Audit Executive of Rhondda Cynon Taf CBC, the Internal Audit service has satisfied the requirements of an external assessment of conformance with the PSIAS, with no significant deviations reported. An external assessment is required at least every five years, and in June 2018 Audit Committee was provided with the action plan arising from the external review and information.

As part of the Quality Assurance and Improvement Programme, there is a programme of ongoing monitoring and an annual self-assessment of conformance with the Code of Ethics and the Standards. A self-assessment was undertaken in Q2, and the action plan arising from the assessment is attached as **Appendix G**. A management response has been included against each of the recommendations from the self-assessment, and is included for Audit Committee information.

## 4. CONCLUSION

- 4.1 Whilst there has been steady progress through the audit plan, as outlined in section 3.2, there has been a decrease in the percentage of audit reports delivered within six weeks, and the percentage of audit recommendations implemented within the agreed timescale, to which priority will be given monthly monitoring meetings. At this mid-year position, the annual plan has been reviewed to determine the most appropriate use of unallocated audit days for general assurance and value for money audit purposes.

Reports Issued as at 19<sup>th</sup> October 2018

Audit Area	Audit Opinion	High Risk Recommendations		Comments
		Proposed	Agreed	
<b>Fundamental / High</b>				
Social Services – governance	Effective			
Social Services – effective decision making	Effective			
Resources – governance	Effective			
Governance & Legal Services – governance	Effective			
Audit of Risk Management	Effective			
Planning Transport and Environment – effective decision making	Effective			
Communities – effective decision making	Effective			
Education – governance (Criegiau)	Effective			
Education – governance (St. Illtyd’s)	Effective			
Education – governance (Coed Glas)	Effective			
Council Tax	Effective			
Audit of Corporate Governance	Effective			
Education – governance (Hywel Dda)	Effective			
Education – governance (Ysgol Coed y Gof)	Effective			Draft report issued
Economic Development – partnerships and collaborative governance	Effective			Draft report issued
Economic Development – governance	Effective with opportunity for improvement			
Economic Development – commissioning and procurement	Effective with opportunity for improvement			
Resources – commissioning and procurement	Effective with opportunity for improvement			
Social Services – commissioning and procurement	Effective with opportunity for improvement			
G&LS – partnerships and collaborative governance	Effective with opportunity for improvement			
Planning, Transport and Environment – commissioning and procurement	Effective with opportunity for improvement			

Audit Area	Audit Opinion	High Risk Recommendations		Comments
		Proposed	Agreed	
Education – governance (Birchgrove)	Effective with opportunity for improvement			
Education – governance (Cardiff)	Effective with opportunity for improvement			
Education – governance (Radyr)	Effective with opportunity for improvement			
Education – governance (Danescourt)	Effective with opportunity for improvement			
Education – governance (Holy Family)	Effective with opportunity for improvement			
Economic Development – effective decision making	Effective with opportunity for improvement			
Communities – commissioning and procurement	Effective with opportunity for improvement			
Corporate – partnerships and collaborative governance	Effective with opportunity for improvement			
Education – governance (Peter Lea)	Effective with opportunity for improvement			
Education – governance (St. Fagan’s)	Effective with opportunity for improvement			
Business Continuity	Effective with opportunity for improvement			
Social Services – partnerships and collaborative governance	Effective with opportunity for improvement			Draft report issued
Fleet Management Information Technology (FMIT)	Insufficient with major improvement needed	2	2	
School Organisation Access and Planning	Insufficient with major improvement needed	3	3	
Sports Joint Venture (GLL)	Insufficient with major improvement needed	1		
Commercial Services – BM charging mechanism	Insufficient with major	1		Draft report issued

Audit Area	Audit Opinion	High Risk Recommendations		Comments
		Proposed	Agreed	
	improvement needed			
<b>Medium</b>				
Education – commissioning and procurement (Cantonian)	Effective			
Education – commissioning and procurement (Tongwynlais Primary)	Effective with opportunity for improvement			
Cradle to Grave – Gulliver’s	Effective with opportunity for improvement			
Communities First	Effective with opportunity for improvement			
Baden Powell	Insufficient with major improvement needed			
Mileage and subsistence	Insufficient with major improvement needed			Draft report issued
Music Service	Unsatisfactory	5	5	
Income in school kitchens	Unsatisfactory	3		Draft report issued
<b>Grants / Accounts / External Bodies</b>				
Joint Committee – Glamorgan Archives	Audits undertaken to support the Council’s Statement of Accounts			
Joint Committee – Prosiect Gwyrdd				
Joint Committee – Port Health				
Cardiff Further Education Trust	Audit of Statement of Accounts			
Norwegian Church Preservation Trust 2015 - 2017	No assurance opinion given	4	4	
Welsh Local Government Association	Final report issued			
Flying Start	Final report issued			
City Deal	Final report issued			
Rent Smart Wales	Consultation assignment – provision of training			
<b>Other assignments</b>				
Review of banking arrangements – Shirenewton	No assurance opinion given			Briefing paper
Education – summary of thematic audits	No assurance opinion given			Draft report issued
Asset management	No assurance opinion given			Briefing paper

**Audit Plan (as at 19.10.18)**

**See separate sheet**



Red & red / amber recommendations open

See separate sheet

Red & red / amber recommendations completed since last meeting

See separate sheet

Red & red / amber recommendations with revised action dates

See separate sheet

Mae'r dudalen hon yn wag yn fwriadol

Fundamental Audits - S151 Assurance		Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
Creditor Payments & Processing (including procurement)	Assurance	70	70	CRSA 2018/19	20	
				Purchasing cards	10	
				In-year testing 2017/18 and 2018/19	40	
Payroll	Assurance	70	50	CRSA 2018/19	0	
				In-year testing 2017/18 and 2018/19	50	
Council Tax	Assurance	15	15	CRSA 2018/19	5	
				In-year testing 2017/18	10	
Local Housing Allowances	Assurance	10	10	Local Housing Allowances	10	
Income and Debtors	Assurance	15	15	Income and Debtors	15	
Asset Management	Assurance	20	20	Asset Management	20	
Housing Rents	Assurance	15	15	Housing Rents	15	
<b>Total</b>		<b>215</b>	<b>195</b>		<b>195</b>	
Corporate Governance Assurance - Audit		Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
Audit of risk management arrangements	Assurance	20	20	Audit of risk management arrangements	20	
				Audit of risk management arrangements 2017/18	0	
Audit of governance arrangements	Assurance	30	30	Audit of governance arrangements	30	
Audit of ethics and values	Assurance	25	25	Audit of ethics and values	25	
Audit of performance management	Assurance	20	20	Audit of performance management	20	
Audit of information governance	Assurance	15	15	Audit of information governance	15	
<b>Total</b>		<b>110</b>	<b>110</b>		<b>110</b>	
Programme and projects (including ODP)	Assurance	20	20	Programme and projects (including CADT)	20	
<b>Total</b>		<b>20</b>	<b>20</b>		<b>20</b>	
Other Assurance		Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
Contract Audit	Assurance	100	20	Training on new CSO&PRs	20	
				Collaborative and partnership working	0	
				Not yet allocated	0	
				Cradle to Grave - Gulliver's	0	
Education - SOP	Assurance	0	0	Education - SOP	0	
Digital Cardiff	Assurance	100	100	Cloud computing	15	
				Self-service permissions	10	
				GDPR	20	
				Not yet allocated	55	
				Inventory of information assets	0	
Driving Improvement - Value for Money studies	TBC	30	70	Review of sickness absence	5	
				Review of agency worker appointment process	15	
				Personal review process	5	
				Workforce deployment	20	
				Enforcement	15	
				Review of overtime	10	
System Development	TBC	30	30	System Development	30	
Insurance	Assurance	10	10	CRSA 2018/19	4	
				In-year testing 2017/18	6	
Mileage & subsistence	Assurance	10	10	Mileage & subsistence (including pool cars)	10	
	Assurance	0	5	Travel policy	5	
Stores	Assurance	10	10	Stores	10	
Health and Safety	Assurance	10	10	Health and Safety	10	
Business Continuity	Assurance	15	15	Business Continuity	15	
<b>Total</b>		<b>315</b>	<b>280</b>		<b>280</b>	
Service specific audits		Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
				Partnerships and collaborative governance	20	
				Commissioning and Procurement	20	

Planned for audit in quarter				
1	2	3	4	
15	5	0	0	
0	10	0	0	
10	15	0	15	
0	0	0	0	
0	5	20	25	
5	0	0	0	
0	10	0	0	
0	0	0	10	
15	0	0	0	
20	0	0	0	
0	0	15	0	
65	45	35	50	
0	0	20	0	
0	0	0	0	
30	0	0	0	
0	25	0	0	
0	0	0	20	
0	0	15	0	
30	25	35	20	
0	0	20	0	
0	0	20	0	
20	0	0	0	
0	0	0	0	
0	0	0	0	
0	15	0	0	
0	0	20	0	
0	0	20	0	
0	5	0	0	
0	0	15	0	
0	5	0	0	
0	0	0	20	
0	0	0	15	
0	0	0	10	
0	0	0	30	
0	0	0	4	
0	0	0	6	
10	0	0	0	
0	0	0	5	
10	0	0	0	
0	0	0	10	
15	0	0	0	
55	35	55	135	
20	0	0	0	
0	0	20	0	

Status at Audit Committee in		
June	September	November
Fieldwork	Closed	
	Fieldwork	
	Fieldwork	
	Cancelled	
Fieldwork	Draft	Final report issued
Fieldwork	Fieldwork	Draft
Fieldwork	Draft	Briefing paper issued
Final report issued		
Fieldwork	Final report issued	
	Fieldwork	
		Researching and scoping
Ongoing	Completed	
		Cancelled
		Cancelled
Draft report issued	Final report issued	
Final report issued		
	Researching and scoping	
	Researching and scoping	
		Researching and scoping
Fieldwork	Draft	Draft report issued
Fieldwork	Fieldwork	
Fieldwork	Draft report issued	Final report issued
Fieldwork	Fieldwork	Draft

Planning, Transport and Environment	Assurance	190	190	Budgeting and forecasting	20
				Value for Money	0
				Section 106 agreements	0
				Flood risk management	10
				Follow up audits	10
				Payroll issues - additional payments	10
				Weighbridge	10
				Stock checks (CTS)	5
				Acting up allowances	0
				Asset Management	10
				Tranman	10
				Payroll issues	20
				To be allocated following further discussion with Director	45
				Commissioning and Procurement	0
				Governance	0
				Effective Decision Making	0
				<b>Service specific audits</b>	<b>Type of engagement</b>
People and Communities	Assurance	150	115	Partnerships and collaborative governance	25
				Commissioning and Procurement	20
				Budgeting and forecasting	25
				Value for Money	0
				Lettings policy for high rise accommodation	10
				Independent Living (link with Social Services?)	0
				Regional Partnership Board	15
				Follow up audits	10
				Asset Management	10
				To be allocated following further discussion with Director	0
				Communities First	0
				Commissioning and Procurement	0
				Effective Decision Making	0
				Economic Development	Assurance
Commissioning and Procurement	10				
Budgeting and forecasting	15				
Value for Money	0				
Park and Ride - Events	10				
Follow up audits	5				
Income collection / fees and charges	10				
Front of House (Cardiff Castle)	5				
Sports Joint Venture	0				
Asset Management	10				
Commissioning and Procurement	0				
FMIT	0				
GLL Leisure Services contract	0				
Commercial Services	0				
Effective Decision Making	0				
Governance	0				
Education	Assurance	350	325		
				Commissioning and Procurement	25
				Budgeting and forecasting	25
				Value for Money	0
				ICT Governance	25
				School Admissions	10
				Schools' estate	15
				Commissioning of independent investigations	20
				Use of contractors by schools	20
				Work in individual schools	10
				Willows	5
				Baden Powell	5
				Llandaff CiW	5
				Whitchurch Primary	5
				Whitchurch HS	5
				Pontprenau	5
				Ysgol Coed y Gof	5
				St. David's	5
				Provision of training to schools	45
				Income processes (Education)	15
				Review of income procedures in school kitchens	20
				Follow up audits	10
				Music Service - follow up	10
				Music Service - expenditure	10
				Music Service	0
				Governance	0
				Commissioning and Procurement (Cantonian)	0
				Commissioning and Procurement (Tongwynlais)	0
				Partnerships and collaborative governance	15

Planned for audit in quarter				
1	2	3	4	
0	20	0	0	
0	0	0	0	
0	0	0	0	
0	10	0	0	
2.5	2.5	2.5	2.5	
0	10	0	0	
10	0	0	0	
0	0	5	0	
0	0	0	0	
0	0	10	0	
0	20	0	0	
0	0	20	25	
0	0	0	0	
0	0	0	0	
0	0	0	0	
25	0	0	0	
0	0	20	0	
0	25	0	0	
0	0	0	0	
0	0	0	10	
0	0	0	0	
2.5	2.5	2.5	2.5	
0	0	10	0	
0	0	0	0	
0	0	0	0	
10	0	0	0	
0	0	10	0	
0	0	0	0	
0	0	0	0	
1.25	1.25	1.25	1.25	
0	0	0	0	
0	0	5	0	
0	0	0	0	
0	0	10	0	
0	0	0	0	
0	0	0	0	
0	0	0	0	
25	0	0	0	
0	0	25	0	
0	25	0	0	
0	0	0	0	
25	0	0	0	
0	10	0	0	
0	0	15	0	
0	20	0	0	
0	0	0	20	
5	0	0	5	
0	5	0	0	
5	0	0	0	
5	0	0	0	
0	0	0	5	
5	0	0	0	
0	5	0	0	
0	0	5	0	
19	24	0	2	
10	5	0	0	
10	0	10	0	
2.5	2.5	1.5	3.5	
0	10	0	0	
0	10	0	0	
0	0	0	0	
0	0	0	0	
0	0	0	0	
0	0	0	0	
0	0	0	0	
15	0	0	0	

Status at Audit Committee in		
June	September	November
		Fieldwork
		Cancelled
		Fieldwork
Fieldwork		Fieldwork
Fieldwork	Briefing paper issued	
	Fieldwork	
Final report issued		
Final report issued		
Final report issued		
Planning	Draft	
	Fieldwork	
		Cancelled
		Deferred
		Cancelled
	Draft report issued	Final report issued
	Final report issued	
Final report issued		
Fieldwork	Draft	Draft report issued
	Fieldwork	
		Cancelled
Not yet started	Draft	
		Deferred
		Reserching and scoping
	Deferred	
Final report issued		
Final report issued		
	Final report issued	
Fieldwork	Draft	Draft report issued
Draft report issued	Final report issued	
Final report issued		
Planning	Fieldwork	
		Fieldwork
		Cancelled
		Fieldwork
	Fieldwork	
Fieldwork	Final report issued	
		Fieldwork
		Fieldwork
		Fieldwork
	Fieldwork	Draft
Planning		
Fieldwork	Fieldwork	
Planning	Draft report issued	
		Fieldwork
Final report issued		
Draft reports issued	Final reports issued	
Final report issued		
Final report issued		
Final report issued		

Governance and Legal Services	Assurance	50	40	Commissioning and Procurement	10
				Budgeting and forecasting	15
				Value for Money	0
				Governance	0
				Internal and external providers	0
Resources	Assurance	50	30	Commissioning and Procurement	0
				Partnerships and collaborative governance	0
				Commissioning and Procurement	15
				Budgeting and forecasting	15
				Value for Money	0
				Commissioning and Procurement	0
				Governance	0

Planned for audit in quarter			
1	2	3	4
0	0	10	0
0	15	0	0
0	0	0	0
0	0	0	0
0	0	0	0
0	0	0	0
0	0	0	0
0	0	0	0
0	0	15	0
0	15	0	0
0	0	0	0
0	0	0	0
0	0	0	0
0	0	0	0

Status at Audit Committee in		
June	September	November
	Fieldwork	
		Cancelled
Final report issued		
Fieldwork	Draft	
Deferred		
	Fieldwork	
		Cancelled
Final report issued		
Final report issued		

Service specific audits	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
Social Services	Assurance	320	225	Partnerships and collaborative governance	25
				Commissioning and Procurement	25
				Budgeting and forecasting	25
				Value for Money	0
				Regional Social Care Training Unit	15
				Commissioning of independent investigations	20
				Domiciliary care	15
				Follow up audits	10
				Safeguarding arrangements	20
				Asset Management	10
				To be allocated following further discussion with Director (following appointment)	60
				Commissioning and Procurement	0
				Governance	0
				Effective Decision Making	0
<b>Total</b>		<b>1,200</b>	<b>1,000</b>		<b>1,000</b>

25	0	0	0
0	0	25	0
0	0	25	0
0	0	0	0
0	0	0	15
0	20	0	0
15	0	0	0
2.5	2.5	2.5	2.5
0	20	0	0
0	0	10	0
0	0	20	40
0	0	0	0
0	0	0	0
0	0	0	0
255.25	295.25	290.25	149.25

Fieldwork	Draft report issued	
	Fieldwork	
		Fieldwork
		Cancelled
Not yet started		
Ongoing		
		Researching and scoping
Final report issued		
Final report issued		
Final report issued		

External	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
External clients	Assurance	10	25	Cardiff Further Education Trust Fund	2
				Joint committees (Glamorgan Archives, Prosiect Gwyrdd and Port Health)	10
				WLGA	5
				City Deal 2017/18	0
				City Deal 2018/19	5
				Rent Smart Wales - training	3
				Norwegian Church Trust Fund	0
				Other grants	8
Grants	Assurance	20	18	Education Improvement Grant	0
				Youth Innovation Grant	10
				Flying Start	0
<b>Total</b>		<b>30</b>	<b>43</b>		<b>43</b>

0	0	0	2
10	0	0	0
5	0	0	0
0	0	0	0
0	1	2	2
0	2.5	0	0
0	0	0	0
3.5	2.5	1.5	0.5
0	0	0	0
0	0	0	10
0	0	0	0
18.5	6	3.5	14.5

Fieldwork	Final report issued	
Draft report issued		
Draft report issued	Final report issued	
	Training delivered	
Final report issued		
		Researching and scoping
Fieldwork	Final report issued	

Contingencies	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
General Audit		30	272	General Audit	249
				National Fraud Initiative	13
				NFI 2018 - creditors	5
				NFI 2018 - payroll	5
<b>Total</b>		<b>30</b>	<b>272</b>		<b>272</b>
Management	Type of engagement	Original audit plan	Revised audit plan	Assignment	Days
Support for Audit Committee / liaison with WAO	Consultation	50	50	Support for Audit Committee / liaison with WAO	50
Assurance mapping	Consultation	10	10	Assurance mapping	10
CRSA development	Consultation	20	20	CRSA development	20
Work requested by Audit Manager	Consultation	20	20	Work requested by Audit Manager	20
Audit Planning and monitoring	Consultation	20	20	Audit Planning and monitoring	20
Process Development	Consultation	20	20	Process Development	20
Review of Financial Rules etc	Consultation	40	40	Review of Financial Rules etc	40
Consultancy - advice and guidance	Consultation			Consultancy - advice and guidance	
<b>Total</b>		<b>180</b>	<b>180</b>		<b>180</b>
<b>Total chargeable days</b>		<b>2,100</b>	<b>2,100</b>		<b>2100</b>

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Planned for audit in quarter			
1	2	3	4
0	0	125	120
12.5	0	0	0
0	0	0	5
0	0	0	5
12.5	0	125	120
12.5	12.5	12.5	12.5
2.5	2.5	2.5	2.5
5	5	5	5
5	5	5	5
5	5	5	5
5	5	5	5
10	10	10	10
45	45	45	45
<b>481</b>	<b>451</b>	<b>609</b>	<b>534</b>
525	525	525	525

Status at Audit Committee in		
June	September	November
Ongoing	Ongoing	
Continuous and ongoing	Continuous and ongoing	Continuous and ongoing
Continuous and ongoing	Continuous and ongoing	Continuous and ongoing
Continuous and ongoing	Continuous and ongoing	Continuous and ongoing
Continuous and ongoing	Continuous and ongoing	Continuous and ongoing



Yn rhinwedd paragraff (au) 14, 21 Rhan (nau) 4 a 5 o Atodlen 12A  
o Ddeddf Llywodraeth Leol 1972.

Mynediad Cyfyngedig i'r Ddogfen

Mae'r dudalen hon yn wag yn fwriadol

Yn rhinwedd paragraff (au) 14, 21 Rhan (nau) 4 a 5 o Atodlen 12A  
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Mae'r dudalen hon yn wag yn fwriadol



# CORPORATE RESOURCES INTERNAL AUDIT SECTION

## Cardiff Council

### INTERNAL AUDIT CHARTER 2018/19

#### *Mission Statement*

*To enhance and protect organisational value by providing risk based and objective assurance, advice and insight*

#### Open

We are open and honest about the difficult choices we face, and allow people to have their say on what's important to them and their communities

#### Fair

We champion fairness, recognising that with less resource we need to prioritise services for those who need them most

#### Together

We work with our communities and partners across the city to deliver the best outcomes for the people of Cardiff



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## INTERNAL AUDIT CHARTER

### Definition, Objective and Scope of Internal Audit

1. Internal Audit is an independent and objective assurance and consulting activity that is guided by a philosophy of adding value to improve the organisation of Cardiff Council
2. It assists Cardiff Council in accomplishing its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of the organisation's risk management, control and governance processes.

### Role and Professionalism

3. The internal audit activity is established by the Audit Committee. The internal audit activity's responsibilities are defined by the Audit Committee as part of their oversight role.
4. A professional, independent and objective Internal Audit service is one of the key elements of good governance in Local Government. Cardiff Council's Internal Audit Section seeks to be compliant with the Public Sector Internal Audit Standards which form a foundation for an effective Internal Audit service and encompass the mandatory elements of the Institute of Internal Auditors (IIA) International Professional Practices Framework (IPPF). Through compliance with these standards, all members of the section adhere to the Code of Ethics stipulated within the Standards. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing and for evaluating the effectiveness of the internal audit activity's performance.
5. The Code of Ethics is set out in further detail in Appendix A and works in alignment with the Council's code of professional conduct. The internal audit activity will adhere to Cardiff Council's relevant policies and procedures and the internal audit activity's protocol.

### Authority

6. The internal audit activity with strict accountability for confidentiality and safeguarding records and information, is authorised full, free and unrestricted access to any and all of the organisation's records, physical properties and personnel pertinent to carrying out an engagement. All employees are required to assist the internal audit activity in fulfilling its roles and responsibilities. The internal audit activity will also have free and unrestricted access to the Audit Committee.

### Organisation

7. The Audit Manager will report functionally to the Audit Committee and administratively to the **Head of Finance (Deputy Section 151 Officer)**. ~~The Head of Finance, as Audit Manager, also has responsibility for other finance functions, namely:~~

- (a) Accountancy
- (b) Information Governance
- (c) Business Support
- (d) Revenues

~~and is treated as the audit client for audits in these areas. Each audit is reviewed and managed by the Group Auditor and reported to the Corporate Director, Resources.~~

8. The Audit Committee will approve all reports regarding the performance evaluation of the Internal Audit function.
9. The Audit Committee will approve the internal audit charter, the risk based internal audit plan and receive communications from the Audit Manager on the internal audit activity's performance relative to its plan and other matters. The Audit Manager is delegated the authority to make in-year changes to the internal audit plan and approve audit engagements of no more than 10 planned audit days without seeking approval from the Audit Committee.
10. The resources allocated to the Internal Audit activity are outlined in Appendix B in conjunction with the reporting arrangements.

### **Independence and Objectivity**

11. The internal audit activity will remain free from interference by any element in the organisation including matters of audit selection, scope, procedures, frequency, timing or report content to permit maintenance of a necessary, independent and objective mental attitude.
12. Internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records or engage in any other activity that may impair internal auditor's judgement.
13. Internal auditors must exhibit the highest level of professional objectivity in gathering, evaluating and communicating information about the activity or process being examined. Internal auditors must make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others in forming judgements.
14. Auditors will complete, on an annual basis, a Declaration of Business Interests form and submit it to the Audit Manager for review and authorisation. Any declarations will be used to ensure that there are no conflicts of interest in the audits allocated and to demonstrate transparency. The Group Auditor will not allocate audits to officers where potential conflicts have been identified.
15. The Audit Manager will confirm to the Audit Committee at least annually the organisational independence of the internal audit activity.

### **Responsibility**

16. The scope of internal auditing encompasses but is not limited to the examination and evaluation of the adequacy and effectiveness of the organisations governance risk management and internal control processes in relation to the organisations defined goals and objectives. Internal control objectives considered by internal audit include:
  - Consistency of operations or programmes with established objectives and goals and effective performance
  - Effectiveness and efficiency of operations and employment of resources
  - Compliance with significant policies, plans, procedures, laws and regulations
  - Reliability and integrity of management and financial information processes including the means to identify measure, classify and report such information

- Safeguarding of assets

17. Internal Audit is responsible for evaluating all processes of the Council including governance processes and risk management processes. It also assists the Audit Committee in evaluating the quality of performance of external auditors and maintains proper degree of coordination with internal audit.
18. Internal audit may perform consulting and advisory services related to governance, risk management and control as appropriate for the Council. It may also evaluate specific operations at the request of Audit Committee or management as appropriate.
19. Based on its activity, Internal Audit is responsible for reporting significant risk exposures and control issues identified to the Audit Committee and Senior Management including fraud risks, governance issues and other matters needed or required
20. The Audit Committee has a Terms of Reference which defines the area in which it operates and this is set out in Appendix C. The Terms of Reference are reviewed on a periodical basis.

### **Internal Audit Plan**

21. At least annually, the Audit Manager will submit to the Audit Committee an internal audit plan for review and approval including risk assessment criteria. The internal audit plan will include timing as well as budget and resource requirements for the next financial year. The Audit Manager will communicate the impact of resource limitations and significant interim changes to senior management and the Audit Committee.
22. The internal audit plan will be developed based on a prioritisation of all auditable areas using a risk based methodology including input of senior management and audit committee. Prior to submission to the Audit Committee for approval, the plan may be discussed with appropriate senior management. Any significant deviation from the approved internal audit plan will be communicated through the periodic activity reporting process.

### **Reporting and Monitoring**

23. A written report will be prepared and issued by the Audit Manager following the conclusion of each internal audit engagement and will be distributed as appropriate. Internal audit results will be communicated to the Audit Committee.
24. The internal audit report may include management's response and corrective action taken or to be taken in regard to the specific findings and recommendations. Management's response, whether included within the original audit report or provided thereafter by management of the audited area will include a timetable for anticipate completion of action to be taken and an explanation for any corrective action that will not be implemented.
25. The internal audit activity will be responsible for appropriate follow up on engagement findings and recommendations. All significant findings will remain in an open issues file until cleared.

## **Periodic Assessment**

26. The Audit Manager is responsible also for providing periodically a self-assessment on the internal audit activity as regards its consistency with the Audit Charter (purpose, authority and responsibility) and performance relative to its plan.
27. In addition, the Audit Manager will communicate to senior management and the Audit Committee on the internal audit activity's quality assurance and improvement program, including results of ongoing internal assessments and external assessments conducted at least every five years.

## **Quality Assurance and Improvement Programme - QAIP**

28. The internal audit activity will maintain a Quality Assurance and Improvement Programme that covers all aspects of the internal audit activity. The programme will include an evaluation of the internal audit activity's conformance with the Public Sector Internal Audit standards, encompassing all mandatory elements of the IPPF, including an evaluation of whether internal auditors apply the Code of Ethics. The programme also assesses the efficiency of the internal audit activity and identifies opportunities for improvement.
29. The Audit Manager will communicate to senior management and Audit Committee on the internal audit activity's quality assurance and improvement programme, including results of ongoing internal and external assessments conducted at least every five years.
30. Action taken to ensure that the Quality Assurance and Improvement Programme is effective is set out in Appendix D.

## **CODE OF ETHICS**

### **Public Sector Requirement**

Internal Auditors in UK public sector organisations must conform to the Code of Ethics as set out below. If individual Internal Auditors have membership of another professional body then he or she must also comply with the relevant requirements of that organisation.

The purpose of the Institute's Code of Ethics is to promote an ethical culture in the profession of Internal Auditing. A code of ethics is necessary and appropriate for the profession of Internal Auditing, founded as it is on the trust placed in its objective assurance about risk management, control and governance.

The Institute's Code of Ethics extends beyond the definition of Internal Auditing to include two essential components:

- 1. Principles that are relevant to the profession and practice of Internal Auditing;

and

- 2. Rules of Conduct that describe behaviour norms expected of Internal Auditors.

These rules are an aid to interpreting the Principles into practical applications and are intended to guide the ethical conduct of Internal Auditors.

The Code of Ethics provides guidance to Internal Auditors serving others. 'Internal Auditors' refers to Institute members and those who provide Internal Auditing services within the definition of Internal Auditing.

### **Applicability and Enforcement**

This Code of Ethics applies to both individuals and entities that provide Internal Auditing services. For Institute members, breaches of the Code of Ethics will be evaluated and administered according to The Institute's Disciplinary Procedures. The fact that a particular conduct is not mentioned in the Rules of Conduct does not prevent it from being unacceptable or discreditable and, therefore, the member liable to disciplinary action.

### **Public Sector Interpretation**

The 'Institute' here refers to the Institute of Internal Auditors. Disciplinary procedures of other professional bodies and employing organisations may apply to breaches of this Code of Ethics.

#### **1. Integrity**

##### *Principle*

The integrity of Internal Auditors establishes trust and thus provides the basis for reliance on their judgement.

## **Rules of Conduct**

Internal Auditors:

- 1.1 Shall perform their work with honesty, diligence and responsibility.
- 1.2 Shall observe the law and make disclosures expected by the law and the profession.
- 1.3 Shall not knowingly be a party to any illegal activity, or engage in acts that are discreditable to the profession of Internal Auditing or to the organisation.
- 1.4 Shall respect and contribute to the legitimate and ethical objectives of the organisation.

## **2. Objectivity**

### *Principle*

Internal Auditors exhibit the highest level of professional objectivity in gathering, evaluating and communicating information about the activity or process being examined.

Internal Auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests, or by others, in forming judgements.

## **Rules of Conduct**

Internal Auditors:

- 2.1 Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organisation.
- 2.2 Shall not accept anything that may impair or be presumed to impair their professional judgement.
- 2.3 Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

## **3. Confidentiality**

### *Principle*

Internal Auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.

## **Rules of Conduct**

Internal Auditors:

- 3.1 Shall be prudent in the use and protection of information acquired in the course of their duties.
- 3.2 Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organisation.

## **4. Competency**

### *Principle*

Internal Auditors apply the knowledge, skills and experience needed in the performance of Internal Auditing services.

### **Rules of Conduct**

Internal Auditors:

- 4.1 Shall engage only in those services for which they have the necessary knowledge, skills and experience.
- 4.2 Shall perform Internal Auditing services in accordance with the International Standards for the Professional Practice of Internal Auditing.
- 4.3 Shall continually improve their proficiency, effectiveness and quality of their services.

## AUDIT ACTIVITY RESOURCES AND REPORTING LINES

### Resources

1. **Audit Manager** – ~~0.15~~ **1** FTE - responsible for leading and managing the audit and investigation teams in delivering their roles, as set out within the Public Sector Internal Audit Standards (PSIAS), and other professional Codes of Practice. ~~This role is performed by the Head of Finance (Deputy S151 Officer).~~
2. **Audit Team** – 10.4 FTE - who undertake system based audits, financial audits, provide advice and guidance to clients on a wide range of matters and undertake work around efficiency and value for money.
3. **Investigation Team** – ~~2~~ **1.5** FTE - dedicated to the prevention, detection and investigation of suspected fraud or financial impropriety.
4. All audit staff are required to maintain the highest standards of professional practice, and comply with professional Code of Practices. The Public Sector Internal Audit Standards are followed in all aspects of work undertaken.
5. For the purpose of the Public Sector Internal Audit Standards, the Audit Committee acts as the “Board” and the Corporate Director of Resources & Section 151 Officer is the Senior Manager overseeing the Internal Audit Function. The Audit Manager is the Chief Audit Executive.
6. ~~Where the Head of Finance has operational responsibilities for activities, then the audit activity in this area conducted will be reviewed and authorised by a senior group auditor and assured by the Section 151 Officer.~~
7. All auditors and investigators are suitably qualified and collectively offer a wide range of skills, experience and knowledge. In the Audit team, there are ~~three~~ **two** qualified Accountants, ~~one~~ **Chartered Internal Auditor**, and most other auditors are qualified Accounting Technicians, with four studying for the Certified Internal Audit qualification. The Investigation team is led by a Group Auditor who has the CIPFA Certificate in Investigative Practice and investigators are Professional trained investigators (PINS).
8. Ongoing development and training of auditors is fundamental to the delivery of an effective and professional Audit service. The Council’s Personal Review Scheme is fully adopted within Audit where all members of the team assess themselves against the skills required for their respective roles. This assists in the identification of team and individual development and training opportunities within a robust performance management framework.



**AUDIT COMMITTEE**

**TERMS OF REFERENCE**

Governance, Risk & Control

- To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account the internal audit opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and internal control.
- To consider the council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- To consider the Council's framework of assurance and ensure that it adequately addresses the risk and priorities of the Council.
- To monitor the effective development and operation of risk management in the Council.
- To monitor progress in addressing risk-related issues reported to the committee.
- To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- To review the assessment of fraud risks and potential harm to the council from fraud and corruption.
- To monitor the Counter-fraud strategy, actions and resources.

Internal Audit

- To approve the Internal Audit Charter.
- To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- To approve significant changes to the risk-based internal audit plan, including audit's resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.
- To approve significant interim changes to the risk based internal audit plan and resource requirements.
- To make appropriate enquiries of both management and the audit manager to determine if there are any inappropriate scope or resource limitations.
- To consider reports from the Audit Manager on Internal Audit's performance during the year. These will include:

- Updates on the work of internal audit including key findings, issues of concern and action in hand as a result of internal audit work
- Regular reports on the results of the Quality Assurance and Improvement Programme
- Reports on instances where the internal audit function does not conform to the PSIAS and Local Government Application Note considering whether the non- conformance is significant enough that it must be included in the Annual Governance Statement.
- The opinion on the adequacy and effectiveness of the Council's framework of governance, risk management and internal control together with a summary of the work supporting the opinion – these will assist the committee in reviewing the Annual Governance Statement.
- To consider summaries of specific internal audit reports as required.
- To receive reports outlining the action taken where the Audit Manager has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.
- To consider a report on the effectiveness of internal audit to support the Annual governance Statement, where required to do so by the Accounts and Audit Regulations.
- To support the development of effective communication with the audit manager.

#### External Audit

- To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- To consider specific reports as agreed with the external auditors.
- To comment on the scope and depth of external audit work and to ensure it gives value for money.
- To commission work from internal and external audit.
- To advise and recommend on the effectiveness of relationships between external and internal audit and other inspector agencies or relevant bodies.

#### Financial Reporting

- To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
- To seek assurances that the Council has complied with the Treasury Management Strategy and Practices by demonstrating effective control of the associated risks and pursuing optimum performance consistent with those risks.

### Accountability Arrangements

- To report to Council on the Committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of the governance, risk management and internal control frameworks, financial reporting arrangements and internal and external audit functions.
- To report to Council on an annual basis on the committee's performance in relation to the terms of reference and the effectiveness of the committee in meeting its purpose.
- To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- To work in synergy with the five Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.

### Training & Development

- To attend relevant training session in accordance with the Member Development Programme including specialist training tailored for Members of the Audit Committee e.g. treasury management.

**QUALITY ASSURANCE AND IMPROVEMENT PROGRAMME**

A Quality Assurance and Improvement Programme (standard 1300) is designed to enable an evaluation of the Internal Audit section's conformance with the Standards and an evaluation of whether internal auditors apply the Code of Ethics. The programme also assesses the efficiency and effectiveness of the internal audit activity and identifies opportunities for improvement.

1. Every audit assignment has to undergo a Quality assurance review.
2. At the conclusion of each audit, a Post Audit assessment form is completed by both the auditor and the reviewer.
3. A quality assurance questionnaire is issued to the client at the end of each audit.
4. Each Directorate has a relationship manager with regular meetings to discuss outcomes of audits, audit plan and feedback.
5. Annual personal reviews include assessment against a skills and competency framework.
6. Periodic self-assessments are undertaken to evaluate conformance with the Code of Ethics and the Standards.
7. Benchmarking exercises are undertaken in order to assess our performance against other comparable organisations and report on significant variances; action plans are developed and implemented where appropriate.
8. Relevant Codes of Practice and Standards are adhered to.
9. There is compliance with Professional Accountancy / Audit and the Council's Codes of Conduct.
10. Annual report and regular periodic reports are presented to the Section 151 Officer and to Audit Committee.
11. The Chief Audit Executive has regular contact with external scrutiny functions such as Wales Audit Office.
12. There is a commitment to undergoing an external inspection on conformance to PSIAS every five years.

**Audit Title: PSIAS Self-Assessment**

REF	SELF-ASSESSMENT QUESTION	FINDINGS	RECOMMENDATIONS	RISK RATING	MANAGEMENT RESPONSE	RESPONSIBLE OFFICER	ACTION DATE
1	Does the chief audit executive (CAE) periodically review the internal audit charter and present it to senior management and the board for approval?	The Charter is approved by the Audit Committee in the presence of the Section 151 Officer. At present, it is not approved by other Senior Management.	Consideration should be given to presenting the Audit Charter to Senior Management Team, with further consideration given to being countersigned by the Chief Executive.	Green	The Audit Charter will be presented to, and discussed with, each Director and the Chief Executive upon each review. The Audit Charter will be reviewed in full for approval by Audit Committee in January 2019.	Audit Manager / Chief Audit Executive	January 2019
2	Does the Board approve decisions relating to the appointment and removal of the CAE?	This is not in place. In accordance with the Constiution of the Council, the Cabinet is responsible for decision making in terms of pay, terms and conditions and redundancy arrangements in relation to employees of the Council. The Employment Conditions Committee is responsible for posts at Chief Officer level and above.	No recommendation to be made as this would be against the Council's current Constitution and agreed pay policy.	Green	No Action Required		
3	Does the risk-based plan set out how internal audit's work will identify and address local and national issues and risks?	The audit plan does not set this out specifically, but consideration is taken of issues raised by Scrutiny Committees and any national risks that may impact upon the Council. These are reported regularly to Audit Committee for consideration either for inclusion within the current year plan or a future year's plan.	Although comment is already made in the progress reports to Audit Committee, Management should consider including information on consideration of local and national issues in the committee reports on the development of the audit plan for the following year.	Green	Assurance Mapping will be further progressed in the development of the 2019/20 audit plan. This approach and the audit coverage will be communicated to Audit Committee as it is progressed in quarter 4 2018/19.	Audit Manager	by 31 March 2018

4	Has the internal audit activity evaluated the effectiveness of the organisation's ethics-related objectives, programmes and activities?	A governance review was undertaken in 2017/18 and focussed on the framework relating to staff. This will be expanded further in 2018/19 to the effectiveness of other aspects of the Council's ethics-related objectives and activities.	Audits of ethics-related objectives, programmes and activities should be undertaken annually as part of the review of the Council's corporate governance framework.	Amber / Green	Assurance on ethics will be achieved through a combination of audit engagements. Whilst there may not be a dedicated audit engagement on 'ethics' each year, audit work will be scoped to provide a view of ethics as part of the annual audit opinion.  The quality assurance process has been recomunicated to the Internal Audit Team to ensure all audits are performed and reviewed in accordance with the Standards, in which there is a requirement for appropriate attention to ethics.	Audit Manager	In place October 2018
5	<p>Has the internal audit activity evaluated the effectiveness of the organisation's risk management processes by determining that:</p> <p>a) Organisational objectives support and align with the organisation's mission?</p> <p>b) Significant risks are identified and assessed?</p> <p>c) Appropriate risk responses are selected that align risks with the organisation's risk appetite?</p> <p>d) Relevant risk information is captured and communicated in a timely manner across the organisation, thus enabling the staff, management and the board to carry out their responsibilities?</p>	An Internal Audit of Risk Management Arrangements was undertaken in 2017/18 and further work will be undertaken in 2018/19. Various aspects of risk management processes were reviewed in 2017/18 as part of individual audits and risk / governance information is used to scope and plan audits.	Whilst it is appreciated that risk and governance are key parts of the planning and scoping of all audits, separate audits of the Council's risk management arrangements should be undertaken annually as part of the review of the Council's corporate governance framework.	Amber / Green	Agreed, each year an assurance audit engagement on Risk Management will be undertaken, and the risk management output will be taken into account in risk-based audit planning.	Audit Manager	October 2018

6	Does the engagement plan include the engagement's objectives, scope, timing and resource allocations?	This is in place for all assurance engagements, but improvements are needed for consulting engagements.	Consideration should be given to developing a proforma for significant consultation engagements (i.e. those exceeding 10 planned days). The proforma should set out the objectives, scope and respective responsibilities for the engagement (and include resource allocations).	Green	Arrangements will be made for the objectives, scope, responsibilities and resource allocations for all new consulting engagements to be documented in support of the audit plan.	Audit Manager	October 2018
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Mae'r dudalen hon yn wag yn fwiadol





**AUDIT COMMITTEE: 13 November 2018**

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**INTERNAL AUDIT PROGRESS REPORT 2018/19 – INVESTIGATION TEAM**

**REPORT OF THE HEAD OF FINANCE**

**AGENDA ITEM: 10.2**

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**Reason for this Report**

1. Audit Committee's Terms of Reference requires Members to:
  - Review the assessment of fraud risks and potential harm to the council from fraud and corruption.
  - Monitor the Counter-fraud strategy, actions and resources.
  - Consider reports from the Audit Manager on Internal Audit's performance during the year.
2. This report has been prepared to provide Audit Committee Members with an update on the work of the Audit Section's Investigation Team, as at the 19<sup>th</sup> October 2018, and to provide a summary of a recent Wales Audit Office publication "National Fraud Initiative (NFI) in Wales".

**Background**

3. The Head of Finance prepares quarterly progress reports, outlining the work undertaken by the investigation's team. The Audit Plan is prepared each year in order to provide a measure of the work performed by the Audit function. It is important that this allows for flexibility and the application of professional judgement to enable work to be prioritised and responsive to changing risks.
4. The Audit Commission in England and Wales launched the NFI in 1996 to help public bodies match claimant information across different service areas and geographical boundaries, for the purpose of detecting and preventing fraud. Whilst NFI is run as a UKwide initiative, it is administered in Wales by the Auditor General for Wales. The NFI has identified more than £35 million of fraud and overpayments in Wales, and nearly £1.7 billion across the UK since 1996
5. Audit Committee were briefed on the local government counter fraud and corruption strategy in September 2016. Fighting Fraud and Corruption Locally is a strategy for English local authorities.
6. Cardiff Council has adopted the principles of the strategy and produced a Counter Fraud Tool Kit and Fraud Response Plan which introduced a procedural guide for required actions, which must be followed, in the event of a suspicion of fraud, bribery, corruption or financial impropriety. These documents were presented to Audit Committee in March 2018.

## **Issues**

7. The progress report can be found in Appendix A, and highlights the resource demands a large scale police investigation is having on the team's ability to conclude investigations. Despite resource pressures, Investigating Officer training continues to be delivered by the team and satisfaction levels remain at 100% with positive feedback.
8. Whilst the number of investigations completed for the period April – October 2018 are significantly less than the same period last year, the value exceeds £44,000. It is noted that the value of Council Tax cases closed is higher, compared to last year. The number of referrals received has increased and this can be attributed to NFI data matches.
9. The Wales Audit Office published their report, National Fraud Initiative in Wales, on 23 October 2018, included at Appendix B. The report summarises the findings of the biennial National Fraud Initiative in Wales, for the period 1 April 2016 to 31 March 2018. Appendix C contains an executive summary of the publication from the Internal Audit Investigation's Team.
10. The NFI 2016 exercise, resulted in Cardiff Council processing 3,646 matches, detecting £148,000 fraud and error.
11. The annual Council Tax data matching exercise operates in addition to the NFI exercise. Since July 2017, 1,115 matches have been processed, identifying £144,000 of incorrect discounts.
12. Preparations are underway for the National Fraud Initiative 2018 data matching exercise, and matches should be available to review during quarter four.

## **Legal Implications**

13. There are no legal implications arising from this report.

## **Financial Implications**

14. There are no financial implications arising from this report.

## **RECOMMENDATIONS**

15. That the Committee notes the content of the report and the attached appendices.

**IAN ALLWOOD**  
**HEAD OF FINANCE**  
13 November 2018

*The following Appendices are attached:*

*Appendix A – Investigation Team Progress Report*  
*Appendix B – National Fraud Initiative in Wales, Wales Audit Office Publication*  
*Appendix C – National Fraud Initiative in Wales, Executive Summary*

# Investigation Team – Progress Report

## Training

The Investigation Team continues to develop and deliver the one day, mandatory, Disciplinary Policy, Investigating Officer training. This year, 4 sessions have been delivered with 26 attendees, comparable with the same period last year. All attendees completed feedback forms and the course continues to attain 100% satisfaction with positive feedback. Following the success of the training sessions, a training requirement was identified for note takers. A half day training session was developed and is also being delivered by the Investigation Team. This year there have been 2 sessions with 17 attendees, all feedback that they were totally satisfied with the training.

## Resources

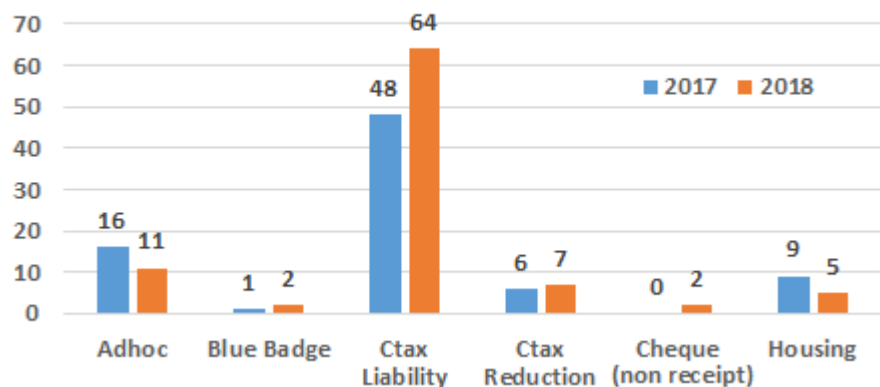


The Investigation Team consists of 1.5fte staff, a Professional Accredited Counter Fraud Manager / Accredited Counter Fraud Specialist, and a Counter Fraud Technician. Due to the current investigation within Waste which is being led by the Internal Audit, Investigation Team, a number of officers have been drawn in to assist from other Directorates.

## Reactive - Referrals

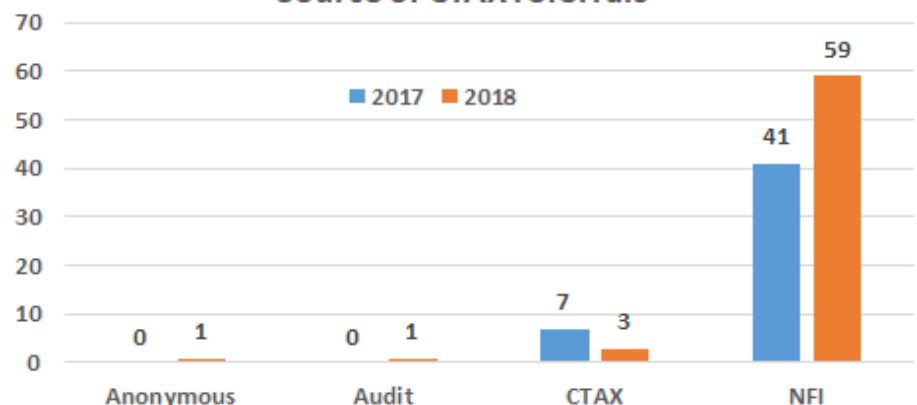
Ninety one referrals were received by the team, compared to eighty for the same period last year:

Referrals received (April to October)



The primary source of Council Tax liability referrals is the NFI.

Source of CTAX referrals

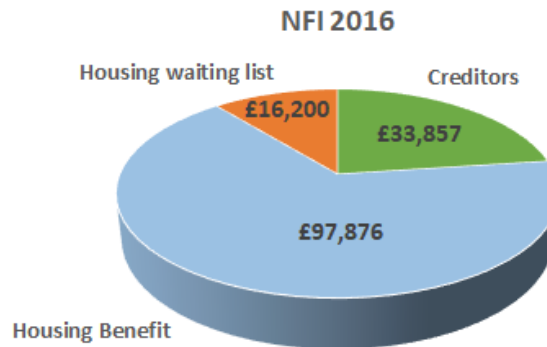


## Data matching



Preparations for the biennial National Fraud Initiative (NFI) 2018 data matching exercise are well underway. The Investigation Team fulfil the mandatory key contact role and will be uploading more than 10 data sets, including Creditors, Housing, Pensions and Payroll.

The last exercise, NFI 2016 with output from January 2017, resulted in Cardiff Council processing 3,646 matches, detecting £148,000 fraud and error.

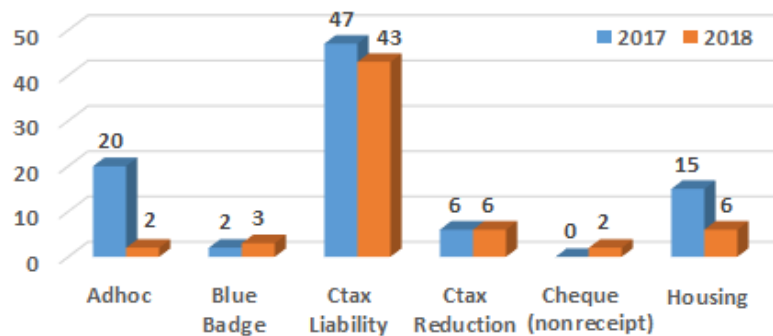


In addition to the biennial exercise, Council Tax and Electoral Register data is submitted annually. The aim is to identify discount recipients who may have failed to report changes to their circumstances, following their application / receipt of a discount.

Since July 2017, 1,115 matches have been processed, resulting in amendments to council tax liabilities totalling more than £144,000.

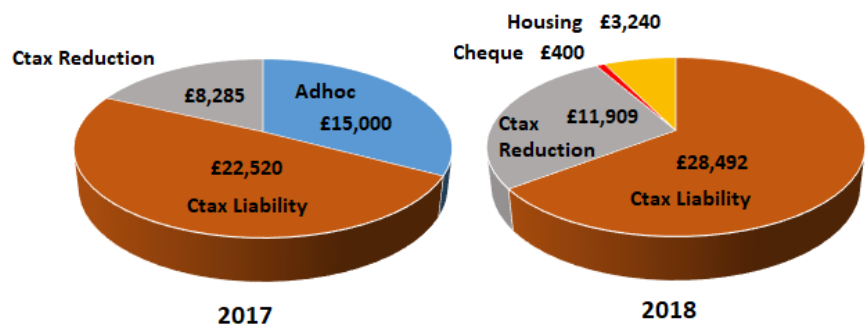
## Investigations completed

### Investigations completed (Apr to October)



### Value of completed investigations

April to October



## Investigations ongoing

There are currently eighty six referrals assigned to a member of the investigation team.

Archwilydd Cyffredinol Cymru  
Auditor General for Wales

# National Fraud Initiative in Wales

Report 1 April 2016 to 31 March 2018



WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU



This report summarises the findings of the biennial National Fraud Initiative in Wales for the period 1 April 2016 to 31 March 2018 I have prepared this report for presentation to the National Assembly under the Public Audit (Wales) Act 2004.

Members of the Wales Audit Office staff who assisted me in preparing this report comprised Steven O' Donoghue and David Rees.

**Adrian Crompton**  
**Auditor General for Wales**  
**Wales Audit Office**  
**24 Cathedral Road**  
**Cardiff**  
**CF11 9LJ**

The Auditor General is independent of the National Assembly and government. He examines and certifies the accounts of the Welsh Government and its sponsored and related public bodies, including NHS bodies. He also has the power to report to the National Assembly on the economy, efficiency and effectiveness with which those organisations have used, and may improve the use of, their resources in discharging their functions.

The Auditor General also audits local government bodies in Wales, conducts local government value for money studies and inspects for compliance with the requirements of the Local Government (Wales) Measure 2009.

The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General.

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**Mae'r ddogfen hon hefyd ar gael yn Gymraeg.**



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A new NFI data match designed to prevent housing waiting list fraud was successful and has resulted in 52 applicants ineligible to be housed being removed from housing waiting lists	24
Most Welsh public-sector bodies participating in the NFI were proactive in reviewing the data matches but a small number of participants did not review the matches in a timely or effective manner	25
The Auditor General, with the support of the National Assembly for Wales is continuing to develop the National Fraud Initiative to ensure it remains effective	25
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# Foreword



It has been 10 years since the global financial crisis caused shockwaves across political, economic and social structures and the impact of that crisis is still being felt today. Public bodies across the UK have had to deal with unprecedented funding cuts and are having to meet ever-increasing demand for public services whilst experiencing year on year budget cuts. Within this context it is encouraging to see how Welsh public bodies are adopting new and innovative ways of working to ensure that service users are insulated from the impact of funding cuts and in some cases service provision is being improved.

Whilst Welsh public bodies need to continue to explore new ways of working, it is essential that they continue to ensure that services and benefits are only provided to those eligible to receive them. Sadly, there are those who attempt to commit fraud to obtain public service and benefits they are not entitled to. In June 2013, the National Fraud Authority estimated that the annual loss to fraud against the public sector in the UK amounted to £662 million (excluding tax fraud). Every pound lost to fraud is a pound wasted and reducing the funding available to those who need public services most. It is therefore crucial that public bodies use all the tools at their disposal to prevent and detect fraud.

I am delighted to be able to support Welsh public bodies as they combat fraud by providing them with the biennial National Fraud Initiative (NFI). NFI is a highly effective data-matching tool which enables organisations to identify and investigate data anomalies that may be due to fraud. Since its inception in 1996, the NFI has been used to identify more than £35 million of fraud and overpayments against the Welsh public sector.

The findings of the latest exercise which are set out in this report show that £5.4 million of fraud and overpayments were identified (compared to £4.4 million in the previous exercise). This represents continued success of the initiative, and I would like to thank those members of staff across the Welsh public sector for their diligence in investigating the data-matches. Without their efforts this success would not have been possible.

I am continuing to implement a strategy for widening participation and usage of the NFI in Wales and encourage all public sector organisations to come forward with proposals for further potential data matches that could help in the prevention and detection of fraud.

**Adrian Crompton**

Auditor General for Wales

# Summary

- 1 Public bodies in Wales spend many billions of pounds of taxpayers' money in providing benefits and services to address the social needs of the people of Wales. In most cases, the recipients of these benefits and services are entitled to them and they can make a considerable difference to improving quality of life.
- 2 When fraudsters claim from public bodies for services and benefits they are not entitled to, it means that individuals in genuine need may have to wait longer for services, treatment or help. Fraud is not a victimless crime.
- 3 In order to support Welsh public bodies in their fight against fraud, the Auditor General runs the NFI in Wales on a biennial basis. The NFI matches data across organisations and systems to help public bodies identify potentially fraudulent or erroneous claims and transactions.
- 4 The current NFI exercise has been one of the most successful to date and has already resulted in the identification of £5.4 million of fraud and overpayments in Wales, and £301 million across the UK. This report includes a number of case studies which highlight the excellent work that participating are doing to drive out fraud in public services.
- 5 These outcomes could not have been achieved without the hard work of many members of staff within participating bodies who have shown commitment to reviewing and investigating the data-matches.
- 6 We are grateful for the support of the National Assembly for Wales in providing the Wales Audit Office with the funding necessary to enable NFI to be provided to participating bodies without charge.
- 7 As part of the next exercise, the Auditor General's auditors will continue to work with participating bodies to help them to maximise the potential benefit that can be achieved through NFI.
- 8 The Auditor General is committed to supporting public bodies in their efforts to prevent and detect fraud by applying data-matching techniques into fraud risk areas not currently within NFI. During 2017-18, the Auditor General has been working in partnership with the Welsh Government, DWP, Cabinet Office and HMRC to develop pilot data-matching exercises to help prevent and detect fraud in education and housing provision. The early results from these pilot exercises are proving very positive and the outcomes will be reported once the pilots have been fully evaluated.

# The latest National Fraud Initiative has made a significant contribution to tackling fraud against Welsh public bodies

## The latest biennial NFI exercise in Wales has detected and prevented £5.4 million in fraud and overpayments

- 1 When fraudsters claim for services and benefits they are not entitled to, it means that individuals in genuine need may have to wait longer for services, treatments or help. Fraud is not a victimless crime.
- 2 In order to support Welsh public bodies in their fight against fraud, the Auditor General runs the NFI in Wales on a biennial basis. The NFI matches data across organisations and systems to help public bodies identify potentially fraudulent or erroneous claims and transactions. **Exhibit 1** sets out some of the data matches that are run through the NFI and the types of issues which may be found.

### Exhibit 1: examples of the types of issue that the NFI has uncovered

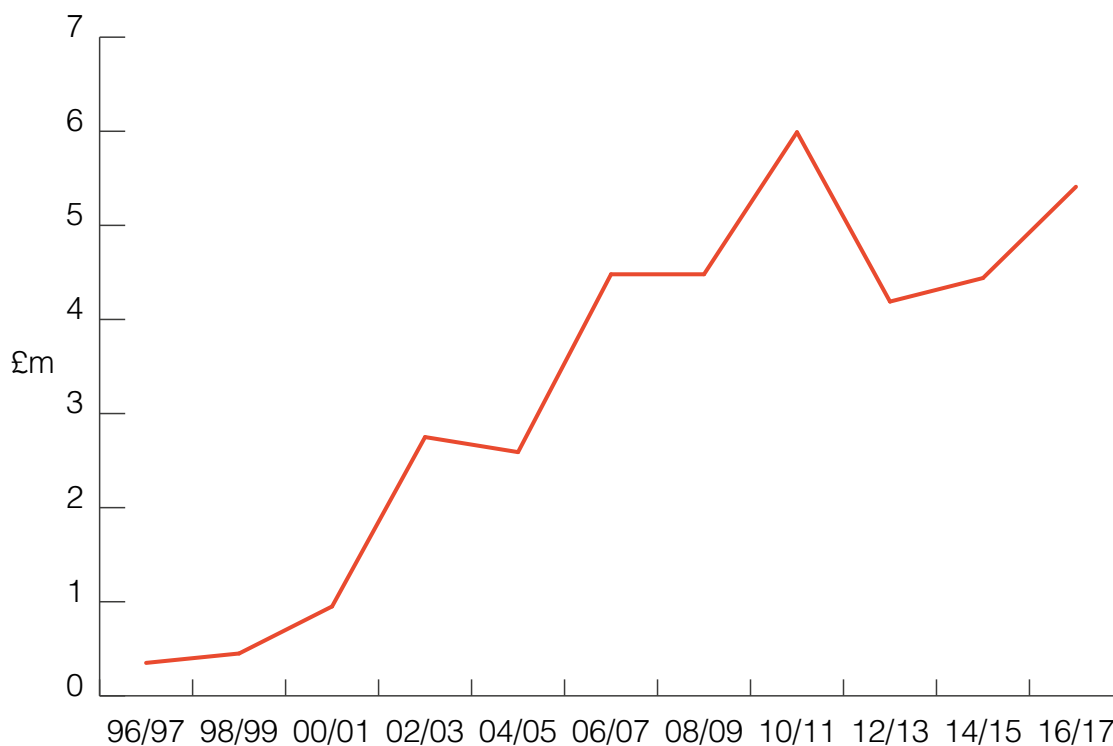
Datasets matched	Issues uncovered
Housing benefit to housing-benefit claims	Individuals who are claiming housing benefit at more than one property.
Housing benefit, housing rent and payroll records to immigration data <sup>1</sup>	Individuals employed or in receipt of public benefits who have no entitlement to live or work in the UK.
Council tax single person discount (CTSPD) to electoral register	Individuals falsely claiming to be the sole adult occupant of a property in order to receive a 25 per cent discount on their council tax bill.
Payments to residential care home to deceased persons' records.	Ongoing payments to residential care home residents after the resident has died.
Creditor payments to creditor payments	Public bodies have paid twice for the same goods or service following the receipt of duplicate invoices.
Blue-badge holder records to deceased persons' records.	Improper use of blue badges, where a permit holder has died, but the local authority has not have been notified.

<sup>1</sup> This includes data about refused and expired visas, visas where there is no right to work and failed asylum applications.

- 3 The Auditor General collaborates on the NFI with the Cabinet Office, Audit Scotland and the Northern Ireland Audit Office to match data across 1,300 organisations in England, Scotland, Wales and Northern Ireland. This includes joint development of new data matching modules, sharing data processing arrangements and sharing resources such as staff and technical guidance. Further information on the NFI and how it works is provided in [Appendix 1](#).
- 4 Since its commencement in 1996, NFI exercises have identified over £35 million of fraud and overpayments in Wales, and £1.69 billion across the UK. Reported overpayments include sums of money that have already been paid out and forward projections, where it is reasonable to assume that fraud, overpayments and error would have continued undetected without NFI data matching.
- 5 The most recent exercise covers the period 1 April 2016 to 31 March 2018. Forty-seven Welsh public sector bodies participated in the latest NFI exercise. These included the following mandatory participants:
  - Local authorities
  - Police authorities
  - Fire authorities
  - NHS bodies
- 6 The Welsh Government, some Welsh Government Sponsored bodies and the Wales Audit Office participated in the NFI on a voluntary basis. The payroll details of the vast majority of public sector staff and their external auditors are included within NFI for data matching to detect and prevent fraud.
- 7 The majority of data matches for this latest NFI exercise were provided to public bodies in January 2017. Since then, most of the matches have been reviewed by participating bodies and, where appropriate, investigations undertaken.
- 8 Between July 2014 and March 2016, responsibility for investigating potential housing-benefit frauds transferred from local authorities to the Department of Work and Pensions Fraud and Error Services (DWP FES). As a consequence, for the NFI exercise to which this report relates, DWP FES was responsible for investigating NFI housing-benefit data-matches considered to be possible frauds.

- 9 The latest exercise detected and prevented fraud and overpayments against public bodies in Wales of over £5.4 million, compared to £4.4 million in the previous exercise. **Exhibit 2** demonstrates how the value of savings identified in Wales through the NFI has changed since the exercise started in 1996.

**Exhibit 2: NFI reported savings in Wales in £ millions**

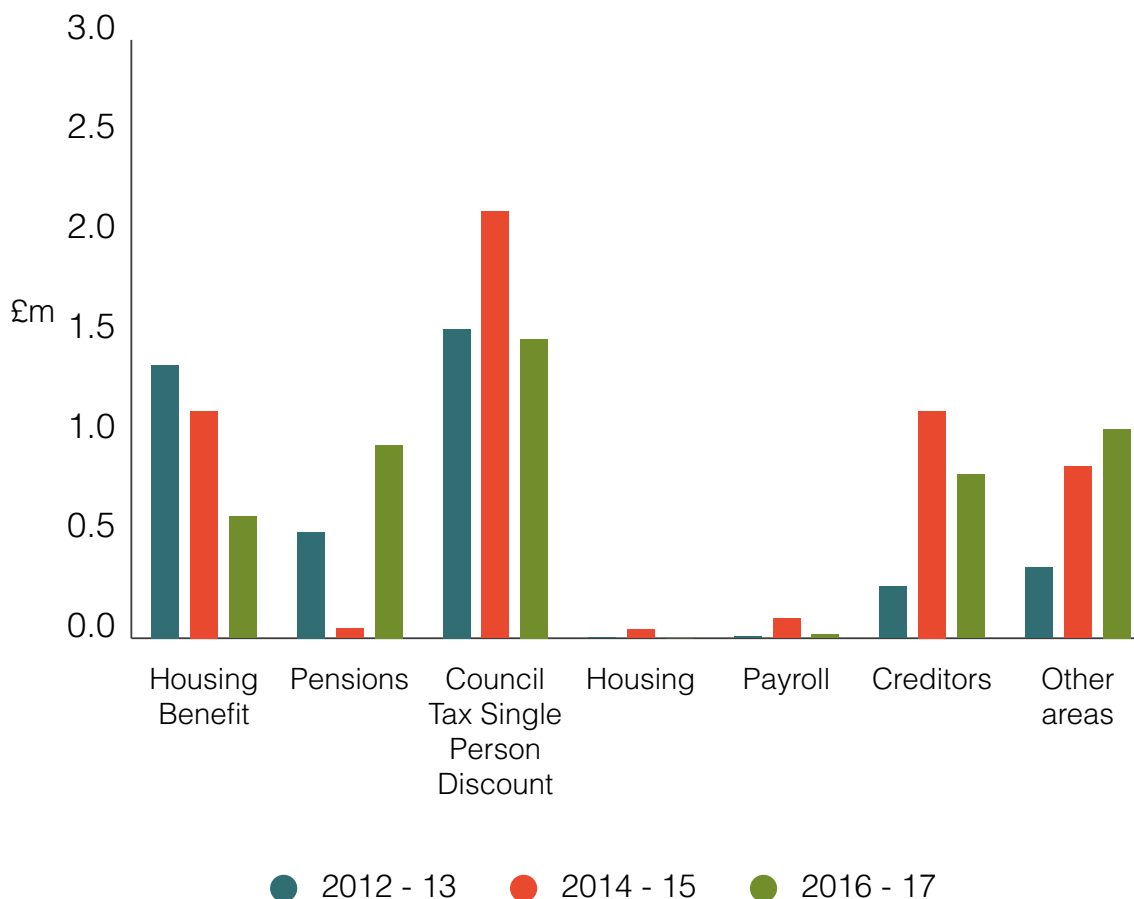


Source: NFI database

## NFI matching has helped to identify cases of fraud and overpayments in a wide range of areas

- 10 When the NFI began in 1996, the main thrust of the NFI was to match data to identify fraud and overpayments in what were considered high-risk areas, in particular:
  - Student awards
  - Housing benefits
  - Public sector payroll
  - Public sector pensions
- 11 Over many years, data matching in these areas has led to the identification of high-value fraud and overpayments, including many longstanding frauds. In particular, longstanding pension payments made in the name of deceased pensioners have been stopped. The latest NFI exercise has found that these traditional data matches are still proving to be an effective tool in the detection of fraud and overpayments, and continue to detect frauds. The value of individual frauds in these areas tends to be lower because most longstanding frauds have been eliminated.
- 12 Since the first NFI exercise many new modules have been introduced which have provided the opportunity for participating organisations to identify fraud and overpayments in other areas, such as creditor payments and Council Tax Single Person Discount claims (CTSPD). The highest-value areas of fraud and overpayments detected and prevented as part of the latest NFI exercise were CTSPD (£1.47 million) and pensions (£0.97 million).
- 13 As shown in [Exhibit 3](#), the value of fraud and overpayments identified in 'other areas' significantly increased in the latest exercise. This is largely due to the introduction of new data sets in recent exercises such as 'blue badge' parking permits and council tax reduction (CTR) claims. When NFI data-matching is introduced in new areas, it has the potential to make a significant financial impact in addressing long-standing fraud.

Exhibit 3: Overpayments and related future savings identified through NFI 2016-17 compared with NFI 2014-15, 2012-13 and NFI 2010-11



Source: NFI database

- 14 When NFI first matched public-sector pensions in payment to deceased persons' records, it found significant numbers of pensions still being paid after a pensioner's death. The cancellation of these payments resulted in significant savings to the public purse. Over time, NFI has helped to largely eliminate this type of fraud and it is now relatively unusual for NFI to identify pensions in payment after a pensioner's death.
- 15 In 2008-09, NFI started matching CTSPD to the electoral register for the first time. Since then, fraud and overpayments of CTSPD amounting to £9.19 million have been detected and prevented. In the latest exercise, £1.47 million of fraud and overpayments were detected. This compared to £2.14 million in the previous exercise. We anticipate that this trend will continue in future exercises as longstanding frauds in this area are eliminated.



## NFI has been successful in identifying housing-benefit fraud and overpayments

- 16 The NFI matches housing-benefit records to a number of datasets to identify fraudulent or erroneous claims. The detection and recovery of housing-benefit fraud and overpayments have traditionally been one of the most successful areas within the NFI.
- 17 Investigating housing-benefit fraud often helps identify other overpayments. People that are in receipt of housing benefit may also be in receipt of other benefits and payments, such as council tax benefit ,income support, or universal credit . The most common benefit frauds and errors detected through NFI are caused by applicants failing to declare occupational pensions or employment earnings, and students claiming housing benefit when not entitled to do so.
- 18 Between July 2014 and March 2016, responsibility for investigating housing-benefit fraud transferred from Welsh local authorities to DWP FES. The transfer was on a phased basis.
- 19 The latest NFI exercise identified £0.64 million of housing-benefit overpayments. This compares to £1.6 million in 2010-11, £1.37 million in 2012-13 and £1.14 million in 2014-15. The decline in benefits outcomes achieved through NFI is not unique to Wales and a similar trend is in evidence across the UK. This may be due to the following reasons:
  - the transfer of responsibility for investigating benefit fraud from councils to the DWP's FES has resulted in local-authority investigators now concentrating on other areas.
  - the DWP is now using real-time information (RTI) on payroll and pension to help prevent benefit overpayments occurring.
  - the DWP only investigates potential frauds of a significant value.
  - efforts by public bodies to continuously improve housing benefit systems. Councils are also participating in DWP schemes such as the Right Benefit Initiative from April 2017, which aims to identify and reduce housing-benefit fraud and error.
- 20 Whilst the overall housing-benefit savings outcomes have reduced, the latest exercise identified 169 cases of benefit fraud or overpayments. Each case had an average value of £3,781. This indicates that NFI participants are effectively targeting high-value and high-risk benefit matches.

## NFI helped to find housing-benefit claimants who had not fully disclosed employment or pension income

- 21 As housing benefit is means-tested, claimants are required to disclose to the local authority any pay and/or pension income they receive and to notify the local authority if their income changes. Claimants are also required to disclose the pay and/or pension of any non-dependants they live with. Failure to fully disclose income is likely to result in housing benefit being overpaid and can be fraudulent.

### Case Study 1

**Pembrokeshire County Council** reviewed NFI data-matches between payroll and housing benefit. In one instance the Council found that a Council employee in receipt of housing benefit had failed to disclose that their pay had increased. Salary details were obtained from the Payroll department and further review of the claim identified that the individual had received housing benefit of £2,760.00 to which they were not entitled. The Council is recovering the over claimed benefit.

### Case Study 2

**Gwynedd Council** investigated an NFI match between housing benefits and payroll that indicated that a housing-benefit claimant had employment income from a local health board that had not been disclosed on their claim for housing benefit. The Council followed up the match by seeking further information from the claimant and HMRC. The Council found that the claimant had overclaimed housing benefit amounting to £3,472.17. The Council also referred the case to the DWP which resulted in the housing-benefit claim being terminated.

### Case Study 3

**Cardiff Council** when reviewing NFI matches between housing benefit and occupational pension income identified that a benefit claimant was in receipt of a teacher's pension from another Welsh local authority and that she had not declared this when claiming housing benefit. The Council sought and obtained confirmation of the pension income from HMRC via RTI and was able to use this information to update the claim and calculate that the claimant had falsely claimed £3,180.25. The case was referred to the DWP, and following investigation, the claimant also accepted an administrative penalty of £1,590.13.

### Case Study 4

**Torfaen County Borough Council** investigated an NFI match that indicated that a housing-benefit claimant was in receipt of an occupational pension, that not been declared as part of the housing-benefit claim. The claimant was also claiming a reduction of Council Tax on the basis of low income. The claimant was of an advanced age and therefore the Council sought evidence from the claimant's daughter as to the amount of pension the pensioner was receiving. The information received from the daughter was inconsistent with the information shown by the NFI match. The Council therefore sought independent confirmation of the pension payments from the pension provider. This confirmed that the amount notified by the claimant's daughter was significantly understated. The Council concluded that the housing-benefit claim had been false from the outset, resulting in housing benefit of £7,201 and CTR of £1,810 being overclaimed.

### Case Study 5

**Pembrokeshire County Council** reviewed NFI data matches between taxi licensing and housing benefit. One case reviewed identified a number of non-declared changes, including an increase in earnings, self-employed earnings as a taxi driver and a dependant of the claimant commencing work. As a result, the claimant had received housing benefit of £2,972 that they were not entitled to and no longer qualified for any benefit. The overpayment is being repaid to the Council.

## NFI was used to identify housing-benefit claimants who had no right to work or stay in the UK

- 22 As NFI data-matches housing-benefit claimants against Home Office immigration and visa records. Individuals who do not have, or have not been granted, a right to reside or work in the UK are ineligible to receive housing benefit.

### Case Study 6

**Cardiff Council** reviewed NFI matches between Housing Benefit and Immigration status. In one instance, having sought further information from the Home Office, the Council confirmed that the housing benefit claimant had no leave to remain in the UK and therefore had no entitlement to receive housing benefit. The Council calculated that the claimant had received an overpayment of £6,854 and suspended the claim. The individual subsequently won an immigration tribunal case which reinstated her entitlement to benefit, and the Council was able to recover the overpayment in full from future benefit payments.

## NFI helped to identify students claiming housing benefit when not entitled to do so

- 23 Most students in receipt of a student loan are ineligible to claim housing benefit. The NFI exercise matched student-loan data to housing-benefit records to identify potentially fraudulent or erroneous housing-benefit payments. Following a review of the matched data, local authorities in Wales identified a significant number of cases where it was suspected that students had claimed housing benefit when ineligible to do so. Many of these cases were referred to DWP FES for investigation.

### Case Study 7

**Cardiff Council** reviewed NFI matches between Housing Benefit and Student Finance. This review confirmed that a number of students in receipt of student finance had failed to declare that they were in receipt of student finance whilst claiming housing benefit. The Council contacted the individuals concerned to confirm the details in the NFI matches and this led to 26 cases of entitlement to housing benefit being reassessed and overclaims calculated. The overclaims are being recovered by the Council. One case was referred to the DWP for investigation and in that case an overpayment of £7,974 was identified, and the claimant also accepted an administrative penalty of £2,000.

## The NFI pension matches have successfully helped to eliminate many longstanding pension frauds and overpayments but a small number of new cases are still being identified

- 24 The NFI matches occupational pensions in payment to deceased people to identify instances where pensions were still being paid after a pensioner had died.
- 25 When this NFI data match was first introduced as part of NFI 2004-05, it identified many cases where pensions were still in payment several years after the pensioner had died. As a consequence, significant pension overpayments had been made. Since then, through the investigation of the NFI matches, public bodies in Wales have been able to eliminate many of these longstanding cases. Whilst NFI continues to identify new cases where pensions have continued after the date of death, the average overpayment is significantly less. This demonstrates the effectiveness of NFI in reducing levels of fraud and error.

### Case Study 8

**The City and County of Swansea** reviewed matches between persons in receipt of occupational pensions paid by the Council and DWP records of deceased persons. Checks were undertaken to confirm that the matched parties were the same. Where this was the case, further checks were undertaken to confirm that the pension was still in payment and whether pension records had been updated to record that the pensioner had died. Where pensions were still in payment after the date of death, payments were suspended, and attempts made to trace the next of kin. Eligibility forms were also sent out as a means of determining continued eligibility. As a consequence of the review, 26 cases were identified where incorrect pension payments were being made, and the Council is seeking to recover the overpayments. In one case, the pension overpayment amounted to £10,058. A further 11 pensions remain suspended, pending ongoing investigations to trace next of kin.

## NFI matching between council tax single-persons-discounts data and the electoral register has achieved savings to the public purse of £1.5 million

- 26 Council-tax payers are eligible for a discount on their bill where they are the only occupant of a household aged over 18, or the other occupants of the household fall into exempted categories, for instance, students. The discount results in a reduction of 25% of the full council-tax bill payable on the property. This discount is commonly referred to as the Council Tax Single Persons Discount (CTSPD).
- 27 In many cases, CTSPD claimants were eligible on application but failed to declare subsequent changes in their personal circumstances. The effort of local authorities to establish the dates of changes in circumstances has enabled local authorities to recover previous years' ineligible discounts rather than just stopping the discount going forward.
- 28 Local authorities are recovering the amount overclaimed in 89% of cases. Furthermore, local authorities have found that some individuals, who inappropriately claimed the discount, also claimed other benefits inappropriately.
- 29 Whilst some Welsh local authorities have been very proactive in reviewing and where necessary cancelling inappropriate claims for CTSPD, others have not invested sufficient resources to address the matches. This is regrettable, because those authorities which have adopted a rigorous approach have achieved savings of £1.5 million by investigating the matches. Case studies 9 and 10 provide two examples of authorities which have been very proactive in this area.

### Case Study 9

**Bridgend County Borough Council** reviewed and investigated NFI matches showing individuals in receipt of CTSPD, where the electoral register showed that more than one individual was registered to vote at the property in question. As a result, 435 claims were identified where claimants were not or were no longer entitled to a discount. The amount overclaimed amounted to £245,175 of which £89,931 is being recovered. The cancellation of these claims has also increased the council-tax revenue being collected going forward.

## Case Study 10

**Pembrokeshire County Council** carried out a review of NFI data matches between those in receipt of council tax discounts where single person discount had been awarded against details held on the electoral register where there was more than one person registered to vote. Household details were cross checked against internal records, verification checks with other local authorities and by contacting the taxpayer directly. As a result of this review, 247 single person discounts were cancelled and the full council-tax charge applied. The Council is recovering £19,550 of underpaid council tax.

## A new NFI data match between claimants receiving Council Tax Reduction and other NFI datasets identified 54 cases where discount was being overclaimed

- 30 Each council in Wales operates its own Council Tax Reduction (CTR) scheme. The CTR scheme helps people on low incomes and/or certain welfare benefits to pay their council tax bill. CTR replaced the national council tax benefit scheme with effect from 1 April 2013.
- 31 As CTR is an income-based discount, where applicants fail to declare their full income, they receive discounts on their Council Tax they are not entitled to. The latest NFI exercise matched CTR and other NFI datasets for the first time. The new data match proved successful, identifying 54 cases in Wales where CTR was being overclaimed. In many of these cases, it was found that the individual was also overclaiming other means-tested benefits.

## Case Study 11

**Gwynedd Council** investigated an NFI match between Payroll and CTR. The evidence held on the Housing Benefit/CTR file showed that the claimant had declared that they were living with a non-dependant who was working part time. However, after reviewing the NFI match and making further enquiries, the Council confirmed that the non-dependant had changed employment in October 2015 and was working full time. The claimant had not notified the Council of this change. The Council calculated that the claimant had overclaimed CTR of £434 and also found that Housing Benefit of £5,794 had also been illegitimately claimed. The claimant accepted an administrative penalty of £2,420. The Council is currently recovering the overpayments through deductions from benefit payments.

## Case Study 12

**Conwy County Borough Council** investigated an NFI match that indicated that a claimant in receipt of full CTR for a property in the Council's area was also in receipt of Housing Benefit and CTR at an address in England. Enquiries made with the other Council in England confirmed that the claimant was resident at a housing association property in that Council's area and was receiving Housing Benefit and CTR from it. The English Council had not been informed that the claimant owned a property in Wales and was therefore not entitled to be paid Housing Benefit or CTR in England. Further checks made of the Land Registry confirmed that the claimant still owned the property in Wales. The Welsh CTR claim was cancelled back to May 2010 and an overpayment of £6,399 calculated. Recovery action is ongoing.

## Case Study 13

**Caerphilly County Borough Council** investigated an NFI match that showed that an individual who in April 2016 had started claiming CTR and CTSPD and housing benefit, had since September 2016 been living with a Council employee at the property to which the claims related. The claimant had not notified the Council of his change in circumstances and had not declared the Council employee's income for benefit assessment purposes. The Council referred the case to the DWP as a potential fraud. When the DWP contacted the claimant, he admitted that he was in a relationship with the Council employee and that they had jointly contrived the tenancy in order to falsely claim housing benefit and CTR. The Council cancelled the CTR, CTSPD and housing benefit claims and are recovering £5,309 in overclaimed housing benefit and £1,212 CTR. The Council commenced disciplinary action against the employee and her employment has now been terminated.

## NFI matching of creditor-payment data has helped to identify 61 cases of creditor overpayments

- 32 The creditor-payment data match is designed to help public bodies identify problems such as duplicate invoices or incorrect VAT rates. It also enables public bodies to highlight system deficiencies which could make them susceptible to fraud or error.
- 33 The latest NFI exercise identified 61 cases where overpayments had been made and in 60 cases these payments have or are being recovered.



## Case Study 14

**Caerphilly County Borough Council** undertook a review of creditor-payment matches to identify and investigate potential duplicates. A number of duplicates were identified which had already been recovered by means of supplier credits or refunds but a number of unrecovered duplicates were also identified through this exercise. Thirty-seven unrecovered duplicated payments were identified with a total value of £60,534. The Council has recovered, or is seeking to recover, all the duplicate payments identified and is continuing to review its systems and procedures to prevent overpayments in the future.

## Review of the NFI matches has led to 1,690 blue badges and 28,584 concessionary travel passes being cancelled

- 34 The NFI matches blue badges and concessionary travel permits to deceased persons' records. The match is designed to identify badges and permits which are potentially still in circulation after the death of the registered owner. Blue-badge records are also matched to identify cases where blue-badge holders have been issued with badges by more than one local authority.
- 35 Blue badges provide a range of parking concessions and are a lifeline for people with severe mobility problems. However, it is essential that the badges are cancelled when the holder dies. Failure to do so can lead to badges being used by those who have no entitlement.
- 36 It is a criminal offence to display a blue badge for the purposes of evading parking charges or to obtain preferential parking when the car driver or passenger is not the legitimate owner of the badge. This does not stop fraudsters targeting the scheme, and blue badges may be sold for considerable sums of money. The fraud not only results in a loss of parking revenues for the local authority, but it also means that parking spaces may be denied to genuine blue-badge holders.
- 37 This year, the match has led to the cancellation of 1,690 blue badges across Wales, compared to 1,044 in the previous NFI exercise. Once the badges have been cancelled, it is possible for local authorities to check whether the cancelled badges are being fraudulently displayed.

### Case Study 15

**One local authority** received a number of NFI matches between blue-badge holders and deceased persons. Having reviewed these matches the Council was able to confirm in 281 cases that the blue-badge holder had died but the Council had not been notified. The blue badges were cancelled and the Council's records updated.

- 38 The Welsh concessionary travel passes scheme entitles all those aged 60 and over and people with disabilities to free bus travel across Wales. Where owners of concessionary travel passes have died or have moved to a different local-authority area, this is not always reported to the local authority and the pass may remain in circulation. This provides the opportunity for fraudsters to avoid travel costs. In previous NFI exercises, NFI data matches in respect of concessionary travel passes were provided to Welsh local authorities for review and investigation. Not all local authorities effectively reviewed these matches. In the latest exercise, the Welsh Government agreed to review the data matches on an all-Wales basis. As a result of work undertaken by the Welsh Government, 28,584 concessionary passes were cancelled. In a number of cases, cancelled passes had been in circulation several years after the holder had died.

### Case Study 16

**The Welsh Government** checked NFI matches between concessionary travel pass holders and deceased persons records on an all-Wales basis. Where the Welsh Government was able to confirm that both sides of the match related to the same person, it cancelled the passes which related to deceased persons. This ensured that the passes in question could not be used fraudulently by third parties. In addition, as the Welsh Government pays an annual charge for each pass in circulation, it was able to achieve an £84,000 a year saving in administration costs.

## The NFI data matches of local-authority payments for residential care have identified a small number of high value cases where local authorities have been charged for residential care costs after the death of a resident

- 39 Dependent upon circumstances, local authorities may contribute to the cost of care for residents of private residential homes. The NFI matches local-authority payments for residential care to deceased persons. If payments continue to be made after a resident's death, very substantial overpayments can accrue.

### Case Study 17

**Conwy County Borough Council** investigated an NFI match that indicated that the Council was still making payments to a private residential care home in respect of a resident who had passed away. On receipt of the NFI match in January 2017, the Council contacted the care home to verify the date of death. The care home confirmed that the resident had died in November 2016. The Council had not been informed of the death by the care home and therefore the Council had continued to make care payments in respect of the resident. As a consequence, the care home had overclaimed £3,859 from the Council. The Council has recovered the overpayment in full from the care home.

### Case Study 18

**Newport City Council** carried out a detailed review of Council payments to private residential homes for placed residents and DWP records of deceased persons. The matching process enabled Council officers to identify that care fees of £68,194 had been made to a care home in respect of a resident who had died. A detailed review by the Council found that neither the Local Health Board nor the care home had notified the Council that the resident had been awarded Continuing Healthcare Funding and had subsequently passed away. Following this discovery, the Commissioning and Contracts team undertook a review of reporting procedures and the Council was able to successfully recover the fees in full.

## A new NFI data match designed to prevent housing waiting list fraud was successful and has resulted in 52 applicants ineligible to be housed being removed from housing waiting lists

- 40 There is a scarcity of social housing stock available to provide accommodation to those who need housing. The demand for social housing is increasing and most providers of social housing have long waiting lists. It is essential that social housing is only provided to those entitled to be housed. When individuals apply for housing that they have no entitlement to, or they fail to notify the housing provider that their circumstances have changed, it can lead to tenancies being granted to those who do not qualify for them and delays in housing those who are entitled.
- 41 In the previous NFI exercise, a pilot exercise was run at a small number of local authorities to match housing waiting lists against other NFI data-sets including existing housing tenancies, housing-benefit claimants, immigration data and deceased persons. The purpose of the matching was to identify examples where fraudulent applications had been made, or where personal circumstances had changed, meaning that individuals on waiting lists no longer qualified to be housed.
- 42 The exercise was successful and the Auditor General decided to extend this match to all Welsh local authorities in the latest exercise. This resulted in 52 applicants ineligible to be housed being removed from Welsh local authority housing waiting lists.

### Case Study 19

**The City and County of Swansea** investigated the waiting list matches it received. After confirming the match parties were the same, checks were undertaken to confirm that the matched party was still on the housing waiting list. The NFI data enabled the Council to check its records and confirm whether the Council's records needed updating or whether a dual/fraudulent claim for housing had been made. As a result of the work undertaken, the Council was able to remove 34 applications from its housing waiting list.

## Most Welsh public-sector bodies participating in the NFI were proactive in reviewing the data matches but a small number of participants did not review the matches in a timely or effective manner

- 43 Auditors have reviewed the work undertaken by authorities to make the best use of the NFI matches and have found that the majority of participants have an effective approach for managing the NFI and reviewing data matches. However, there is still considerable variation in the level of commitment being shown by participants and, in a small number of cases, participants have failed to adequately review NFI matches in an effective or timely manner.
- 44 The Auditor General's auditors will work closely with participating organisations which did not engage effectively with NFI to seek to improve their understanding of and engagement with the exercise.

## The Auditor General, with the support of the National Assembly for Wales is continuing to develop the National Fraud Initiative to ensure it remains effective

- 45 The NFI is an important tool available to public bodies in Wales to use as part of a wider fraud-prevention and detection strategy. The NFI has been a highly effective tool in the prevention and detection of fraud against the public sector for a number of years. Fraud, however, changes over time. New fraud trends emerge and fraudsters themselves change their practices to target areas which they perceive have the weakest controls to prevent and/or detect their fraudulent activities. The NFI must therefore adapt and develop if it is to remain effective. The NFI must respond to emerging trends and policy changes, and introduce new types of data matches in areas which are susceptible to fraud.
- 46 The Auditor General is committed to maintaining, developing and improving the NFI in the future through:
- increased focus on fraud prevention;
  - increasing the number of organisations in Wales participating in the NFI;
  - extending the NFI into new areas which are susceptible to fraud; and
  - ensuring that the current high standards of the NFI data security are maintained.

- 47 In the latest exercise, the Auditor General has continued to provide participants with access without charge to a new NFI fraud prevention tool, 'AppCheck'. AppCheck is a point-of-application data-matching system that enables NFI participants to cross check information provided by applicants for benefits, goods or services against other datasets at the time the application is made. The resultant matches identify anomalies which could be due to fraud, enabling public bodies to investigate and resolve these anomalies in advance of decisions on applications being taken. Whilst some participants are already using this new tool well, it is not yet being used to its full potential. The Auditor General's auditors will continue to work with participants to show how when AppCheck is used as part of a key control when assessing applications, it can stop fraudulent applications being approved, preventing overpayments and the need for costly fraud investigations.
- 48 In the latest exercise, five more public bodies in Wales participated in NFI on a voluntary basis. The Auditor General is keen for more organisations to participate in future exercises.
- 49 The Auditor General is committed to supporting public bodies in their efforts to prevent and detect fraud by applying data-matching techniques into fraud risk areas not currently within NFI. During 2017-18, the Auditor General has been working in partnership with the Welsh Government, DWP, Cabinet Office and HMRC to develop pilot data matching exercises to help prevent and detect fraud in education and housing provision. The early results from these pilot exercises are proving very positive and the outcomes will be reported once the pilots have been fully evaluated.
- 50 Fundamental to the success of the NFI, is public confidence in the security of the data it holds. There are extremely robust controls in place to ensure data security and to minimise the risk of data being accessed inappropriately. Details of the security and governance arrangements in place for NFI are set out in [Appendix 2](#).

51 In 2008, in accordance with Part 4A of the Public Audit (Wales) Act 2004, the Auditor General prepared a Code of Data Matching Practice (the Code). Following an extensive public consultation exercise, the Code was laid before the National Assembly and approved. The Code has statutory status and is designed to ensure that people's information is protected and processed appropriately during data-matching exercises, in accordance with the Data Protection Act 1998 and best practice. The Auditor General will continue to keep the Code under review to ensure it is consistent with new legislation and best practice. In recognition of the recent changes in data protection legislation and the advancement in data-matching techniques, the Auditor General has publicly consulted on an updated Code. The finalised Code will be published shortly.

# Appendix 1 – How the NFI works

In 1996, the Audit Commission in England and Wales launched the NFI to help public bodies match claimant information across different service areas and geographical boundaries. The exercise was a success, and since then NFI has run biennially, introducing new participants and new modules for identifying fraud and overpayments in each new exercise. Whilst NFI is run as a UK-wide initiative, it is administered in Wales by the Auditor General for Wales, in Scotland by Audit Scotland and in Northern Ireland by the Northern Ireland Audit Office. NFI was administered in England by the Audit Commission until 2015 when responsibility transferred to the Cabinet Office.

The NFI has established itself as the UK's premier public-sector fraud-detection exercise. Since 1996, the NFI has identified more than £35 million of fraud and overpayments in Wales, and nearly £1.7 billion across the UK.

Welsh NFI participants in the NFI provide data relating to their financial systems to the Cabinet Office on behalf of the Auditor General. The information submitted is wide-ranging and includes data relating to housing benefits, student-loan recipients, payroll and pension payments. The data is uploaded to the NFI system which has been designed to match different sets of data for the purpose of identifying fraudulent or erroneous claims and payments. Where a match is found, it may indicate an inconsistency which requires further investigation; it is not in itself evidence of a fraud.

Participating organisations are provided with online reports containing the matches which relate to their organisation and they are responsible for analysing those matches. The participants must review the matches in an appropriate and proportionate way to enable them to eliminate co-incidental matches. They must use evidence from a range of other sources to undertake appropriate investigations to determine whether individual matches have arisen due to a fraudulent claim or payment. In many cases, matches arise because of errors in the data, and because the NFI has highlighted the issue, it allows participants to correct or update the data held in their records.

The results of investigations are recorded by appropriate staff members. Where fraudulent payments or overpayments are identified, the value of those transactions is recorded and the information is provided to the Auditor General.

Datasets are transferred by participants to the NFI system using an electronic transfer process which encrypts data on upload. The data is transferred via a secure NFI website, and all matches are provided back to participants using the same tool. Access to the tool and NFI matches is controlled by password access, and strict controls exist to ensure access is provided to appropriate individuals.

Auditors review the progress made by participants, and provide guidance and advice to organisations as required.



# Appendix 2 – NFI governance arrangements

## Background

This appendix summarises the key legislation and controls governing the NFI data matching exercise.

## Legislation

The NFI exercise is carried out under the data matching powers given to the Auditor General for Wales in the Public Audit (Wales) Act 2004.

The Public Audit (Wales) Act 2004 includes important data protection safeguards. These include a requirement for the Auditor General to prepare a Code of Data Matching Practice (the Code), and to consult with the Information Commissioner and others before publication. The code that was in place for the latest NFI exercise, the Code of Data Matching Practice 2008, was followed to ensure that the latest NFI exercise complied with:

- data protection requirements; and
- best practice in notifying individuals about using their information for the NFI.

The Auditor General has recently updated the Code to reflect important data protection changes introduced by the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679) and the subsequent Data Protection Act 2018. The updated Code will apply to the next NFI exercise.

## The NFI web application

Bodies access the application online using passwords and encryption controls similar to internet banking. The secure website is the safest method of providing the data matches to bodies. The Cabinet Office, acting on behalf of the Auditor General for Wales, Audit Scotland and the Northern Ireland Audit Office, regularly reviews the application and implements changes to improve its functionality, ease of use, and security.

Interactive training is available to participating bodies and auditors through the web application to support guidance provided by the Cabinet Office and the Auditor General for Wales' auditors.

## **Security review and accreditation**

The NFI system has gone through the Cabinet Office's information assurance and risk management process. This means the system is HM Government-accredited annually to store and process data.

Any firm processing data for the Cabinet Office will do so under a contract in writing. This imposes requirements covering technical and organisational security standards. Under the contract the firm may only act on instructions from the Cabinet Office. The Cabinet Office, assisted by the Auditor General for Wales and the other UK public sector audit agencies, reserves the right to review the firm's compliance with these standards at any time. The Cabinet Office also requires annual security testing, supplemented by additional tests as appropriate.

This accreditation involves demonstrating that the NFI is suitably secured and that information risks are managed to government standards.

All of these measures provide current and future NFI participants with assurances that data is processed according to rigorous government security standards.



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## **EXECUTIVE SUMMARY**

### **National Fraud Initiative (NFI)**

In 1996, the Audit Commission in England and Wales launched the NFI to help public bodies match claimant information across different service areas and geographical boundaries. Since then NFI has run biennially, introducing new participants and new modules for identifying fraud and overpayments in each new exercise. Whilst NFI is run as a UKwide initiative, it is administered in Wales by the Auditor General for Wales. NFI was administered in England by the Audit Commission until 2015 when responsibility transferred to the Cabinet Office. Since 1996, the NFI has identified more than £35 million of fraud and overpayments in Wales, and nearly £1.7 billion across the UK.

Welsh NFI participants provide data relating to their financial systems to the Cabinet Office on behalf of the Auditor General. The information submitted is wide-ranging and includes data relating to housing benefits, student-loan recipients, payroll and pension payments. Where a match is found, it may indicate an inconsistency which requires further investigation; it is not in itself evidence of a fraud.

### **National Fraud Initiative in Wales**

The Wales Audit Office published their report, National Fraud Initiative in Wales on the 23<sup>rd</sup> October 2018. The report summarises the findings of the biennial National Fraud Initiative in Wales, for the period 1 April 2016 to 31 March 2018.

In his foreword, Adrian Crompton Auditor General for Wales stated:

“Whilst Welsh public bodies need to continue to explore new ways of working, it is essential that they continue to ensure that services and benefits are only provided to those eligible to receive them. Sadly, there are those who attempt to commit fraud to obtain public service and benefits they are not entitled to. In June 2013, the National Fraud Authority estimated that the annual loss to fraud against the public sector in the UK amounted to £662 million (excluding tax fraud).

The findings of the latest exercise which are set out in this report show that £5.4 million of fraud and overpayments were identified (compared to £4.4 million in the previous exercise). This represents continued success of the initiative, and I would like to thank those members of staff across the Welsh public sector for their diligence in investigating the data-matches. Without their efforts this success would not have been possible”.

### **Executive Summary**

In order to support Welsh public bodies in their fight against fraud, the Auditor General runs the NFI in Wales on a biennial basis. The NFI matches data across organisations and systems to help public bodies identify potentially fraudulent or erroneous claims and transactions.

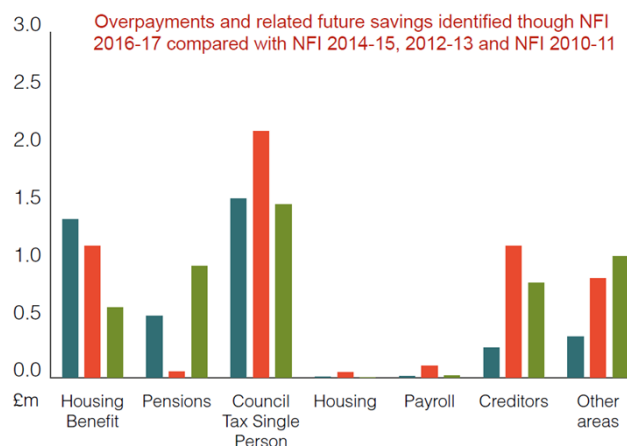
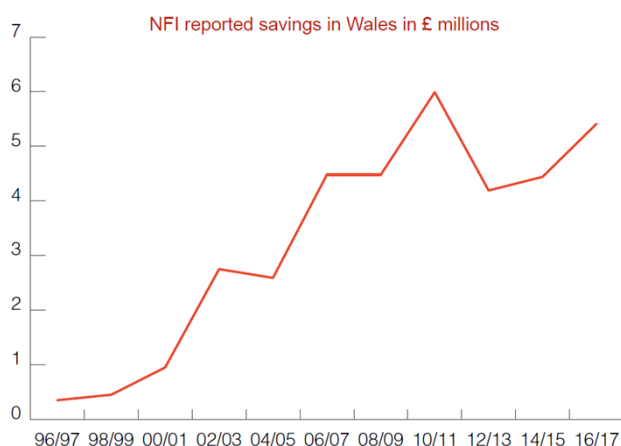
The Auditor General collaborates on the NFI with the Cabinet Office, Audit Scotland and the Northern Ireland Audit Office to match data across 1,300 organisations in England, Scotland, Wales and Northern Ireland.

Since its commencement in 1996, NFI exercises have identified over £35 million of fraud and overpayments in Wales, and £1.69 billion across the UK.

Forty seven Welsh public sector bodies participated in the latest NFI exercise. These included the following mandatory participants:

- Local authorities
- Police authorities
- Fire authorities
- NHS bodies

The Welsh Government, some Welsh Government Sponsored bodies and the Wales Audit Office participated in the NFI on a voluntary basis. The payroll details of the vast majority of public sector staff and their external auditors are included within NFI for data matching to detect and prevent fraud.



Council-tax payers are eligible for a discount on their bill where they are the only occupant of a household aged over 18, or the other occupants of the household fall into exempted categories, for instance, students. The discount results in a reduction of 25% of the full council-tax bill payable on the property. This discount is commonly referred to as the Council Tax Single Persons Discount (CTSPD). In 2008-09, NFI started matching CTSPD to the electoral register for the first time. In the latest exercise, £1.47 million of fraud and overpayments were detected. This compared to £2.14 million in the previous exercise. We anticipate that this trend will continue in future exercises as longstanding frauds in this area are eliminated.

Each council in Wales operates its own Council Tax Reduction (CTR) scheme. The CTR scheme helps people on low incomes and/or certain welfare benefits to pay their council tax bill. CTR replaced the national council tax benefit scheme with effect from 1 April 2013. The latest NFI exercise matched CTR and other NFI datasets for the first time. The new data match proved successful, identifying 54 cases in Wales where CTR was being overclaimed.

The creditor-payment data match is designed to help public bodies identify problems such as duplicate invoices or incorrect VAT rates. It also enables public bodies to highlight system deficiencies which could make them susceptible to fraud or error. The latest NFI exercise identified 61 cases where overpayments had been made and in 60 cases these payments have or are being recovered.

The NFI matches blue badges and concessionary travel permits to deceased persons' records. The match is designed to identify badges and permits which are potentially still in circulation after the death of the registered owner. Records are also matched to identify cases where blue-badge holders have been issued with badges by more than one local authority. It is a criminal offence to display a blue badge for the purposes of evading parking charges or to obtain preferential parking when the car driver or passenger is not the legitimate owner of the badge. This year, the match has led to the cancellation of 1,690 blue badges across Wales, compared to 1,044 in the previous NFI exercise.

Dependent upon circumstances, local authorities may contribute to the cost of care for residents of private residential homes. The NFI matches local-authority payments for residential care to deceased persons. If payments continue to be made after a resident's death, very substantial overpayments can accrue.

A new NFI data match designed to prevent housing waiting list fraud was successful and has resulted in 52 applicants ineligible to be housed being removed from housing waiting lists.

The Auditor General, with the support of the National Assembly for Wales is continuing to develop the National Fraud Initiative to ensure it remains effective

The Auditor General is committed to maintaining, developing and improving the NFI in the future through:

- increased focus on fraud prevention;
- increasing the number of organisations in Wales participating in the NFI;
- extending the NFI into new areas which are susceptible to fraud; and
- ensuring that the current high standards of the NFI data security are maintained.

## **Cardiff Council**

Cardiff Council has been an active participant in the biennial, NFI exercises since they began in 1996, has also participated in trial matches and contributes to case studies for WAO reports.

The NFI 2016 exercise generated 16,963 matches, a risk based approach was adopted and 3,646 matches were processed, this detected £148,000 fraud and error.

In addition to the NFI exercise, the Council also submits Council Tax and Electoral register data, since July 2017 we have processed 1,115 matches and detected £144,000 fraud and error.

## **Next steps**

The Internal Audit, Investigation Team, will work with WAO and the Cabinet Office to comply with the requirements of the NFI exercise and upload the following data sets: Council tax reduction scheme, Housing - Tenants, Waiting list, Right to buy, Licences – market trader/operator, taxi driver and personal licences to supply alcohol, Payroll, Pensions, Personal budget (direct payments), Private supported care home residents, Trade creditors.

The 2018/19 matches will be available from the 31<sup>st</sup> January 2019, preparations are well underway, to ensure adequate resources are available to manage the output.

## **Case studies (NFI 2016)**

NFI helped to find housing-benefit claimants who had not fully disclosed employment or pension income

### **Cardiff Council Case Study 1**

**Cardiff Council** when reviewing NFI matches between housing benefit and occupational pension income identified that a benefit claimant was in receipt of a teacher's pension from another Welsh local authority and that she had not declared this when claiming housing benefit. The Council sought and obtained confirmation of the pension income from HMRC via RTI and was able to use this information to update the claim and calculate that the claimant had falsely claimed £3,180.25. The case was referred to the DWP, and following investigation, the claimant also accepted an administrative penalty of £1,590.13.

NFI was used to identify housing-benefit claimants who had no right to work or stay in the UK

### **Cardiff Council Case Study 2**

**Cardiff Council** reviewed NFI matches between Housing Benefit and Immigration status. In one instance, having sought further information from the Home Office, the Council confirmed that the housing benefit claimant had no leave to remain in the UK and therefore had no entitlement to receive housing benefit. The Council calculated that the claimant had received an overpayment of £6,854 and suspended the claim. The individual subsequently won an immigration tribunal case which reinstated her entitlement to benefit, and the Council was able to recover the overpayment in full from future benefit payments.

NFI helped to identify students claiming housing benefit when not entitled to do so

### **Cardiff Council Case Study 3**

**Cardiff Council** reviewed NFI matches between Housing Benefit and Student Finance. This review confirmed that a number of students in receipt of student finance had failed to declare that they were in receipt of student finance whilst claiming housing benefit. The Council contacted the individuals concerned to confirm the details in the NFI matches and this led to 26 cases of entitlement to housing benefit being reassessed and overclaims calculated. The overclaims are being recovered by the Council. One case was referred to the DWP for investigation and in that case an overpayment of £7,974 was identified, and the claimant also accepted an administrative penalty of £2,000.



Audit Committee Action Plan

(Updated following meeting held on 18 September 2018)

Minute No. /Agenda No.	Actions	Timeline	Action Owner
<b>Finance (Budget)</b>			
18.09.18	That the Head of Finance draft a letter to Wales Audit Office setting out the Committee's formal response to the consultation on fee scales. (completed - email sent)	24.09.18	IA
<b>Governance &amp; Risk Management</b>			
18.09.18	Presentation by Chief Digital Officer in respect of Cyber Security Risk	13.11.18	IB
<b>Wales Audit Office (WAO)</b>			
<b>WAO Tracker/Other Studies</b>			
<b>Internal Audit</b>			
<b>Treasury Management</b>			
<b>Operational Items</b>			
18.09.18	<b>Director of Education Report</b> With regard to the Head Teachers and Chairs of Governing Bodies, the Section 151 Officer and Director of Education consider an approach to reinforce the messages and expectations of the Audit Committee, which balances the impact and focus of the Audit Committee agenda. (Completed - proposed mechanism prepared (Item 10.1))	13.11.18	CS/NB
18.09.18	Report to a future meeting on the Youth Innovation Grant addressing concerns raised around the auditing/evaluation of performance and transparency of the Youth Service commissioning model. (Action underway - Internal Audit arranged for Youth Innovation Grant)	Q4 2018/19 Audit arranged	CP
<b>Work Programme</b>			
<b>Outstanding Actions</b>			
<b>Published Scrutiny Letters</b>			

Mae'r dudalen hon yn wag yn fwriadol

**DRAFT Audit Committee Work Programme 2018-19**

Key: One-off Items

Topic	Tuesday 26.06.18 at 2pm (CR4)	Tuesday 18.09.18 at 2pm (CR4)	Tuesday 13.11.18 at 2pm (CR1)	Tuesday 22.01.19 at 2pm (CR4)	Tuesday 26.03.19 at 2pm (CR4)	Tuesday 25.06.19 at 2pm (CR4)
				12.30-1.30pm - Committee Self- Assessment		
Wales Audit Office	Annual Improvement Report					Annual Improvement Report
		Audit of Financial Statement Report for City of Cardiff Council (ISA260)			Annual Audit Plan 2019	
		Audit of Financial Statement Report - Cardiff & Vale of Glamorgan Pension Fund (ISA260)			Cardiff & Vale Pension Fund Audit Plan	
	WAO Activity/Report Progress Update	WAO Activity/Report Progress Update	WAO Activity/Report Progress Update	WAO Activity/Report Progress Update	WAO Activity/Report Progress Update	WAO Activity/Report Progress Update
Treasury Management	Performance Report	Performance Report	Performance Report	Performance Report	Performance Report	Performance Report
		Annual Report	Half Year Report			
				Draft Strategy 2019-20	Treasury Management Practices	
Finance	Financial Update including Resilience Issues	Financial Update including Resilience Issues	Financial Update including Resilience Issues	Financial Update including Resilience Issues	Financial Update including Resilience Issues	Financial Update including Resilience Issues
	Draft Statement of Accounts 2017-18 (including the AGS)	Final Statement of Accounts for 2017-18 (including the AGS)			Draft Accounting Policies for 2018/19 and AGS	Draft Statement of Accounts 2018-19 (including the AGS)
				Annual Report on the Council's position on income		
	WAO Tracker / Other Studies	WAO Tracker / Other Studies	WAO Tracker / Other Studies	WAO Tracker / Other Studies	WAO Tracker / Other Studies	WAO Tracker / Other Studies
Internal Audit	Progress Update	Progress update (to include Benchmarking & Comparative Data Matching)	Progress Report	Progress Update	Progress Update	Progress Update
	Internal Audit Annual Report 2017-18			Draft Audit Charter and Draft Audit Plan 2019-20	Audit Charter and Audit Pan 2019-20	Internal Audit Annual Report 2018-19
Governance and Risk Management	Audit Committee Annual Rep.2017-18			Audit Committee Annual Report Discussion 2018-19	Audit Committee Draft Annual Rep. 2018-19	Audit Committee Annual Rep. 2018-19
	Senior Management Assurance Statement Review			Senior Management Assurance Statement Review		Senior Management Assurance Statement Review
				AGS 2018-19 Action Plan (Mid-Year)	Draft AGS 2018-19	
	Corporate Risk Management (Year-End)	Corporate Risk Management (Quarter 1)	Corporate Risk Management (Mid-Year)		Corporate Risk Management (Quarter 3)	Corporate Risk Management (Year-End)
	Audit Committee Self-Assessment Feedback/Action Plan				Audit Committee Self-Assessment Feedback/Action Plan	
Operational matters / Key risks	Christine Salter Update on Internal Control Environment	Nick Batchelar Update on Internal Control Environment & Annual Report on School Governance (inc. Balances) & Deficits	Sarah McGill (People & Communities) Update on Internal Control Environment	TBC - Claire Marchant (Social Services) Update on Internal Control Environment	TBC - Andrew Gregory Waste Management Update	Director Invite List to be agreed
	Paul Orders Senior Management Assurance Statements	Andrew Gregory Update on Internal Control Environment	Davina Fiore Update on Internal Control Environment			
			Isabelle Bignall Cybersecurity			
To be Allocated	<ul style="list-style-type: none"> <li>Council's performance against the Well-being and Future Generations Act.</li> </ul>					

Mae'r dudalen hon yn wag yn fwriadol