



Resources Internal Control Environment

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

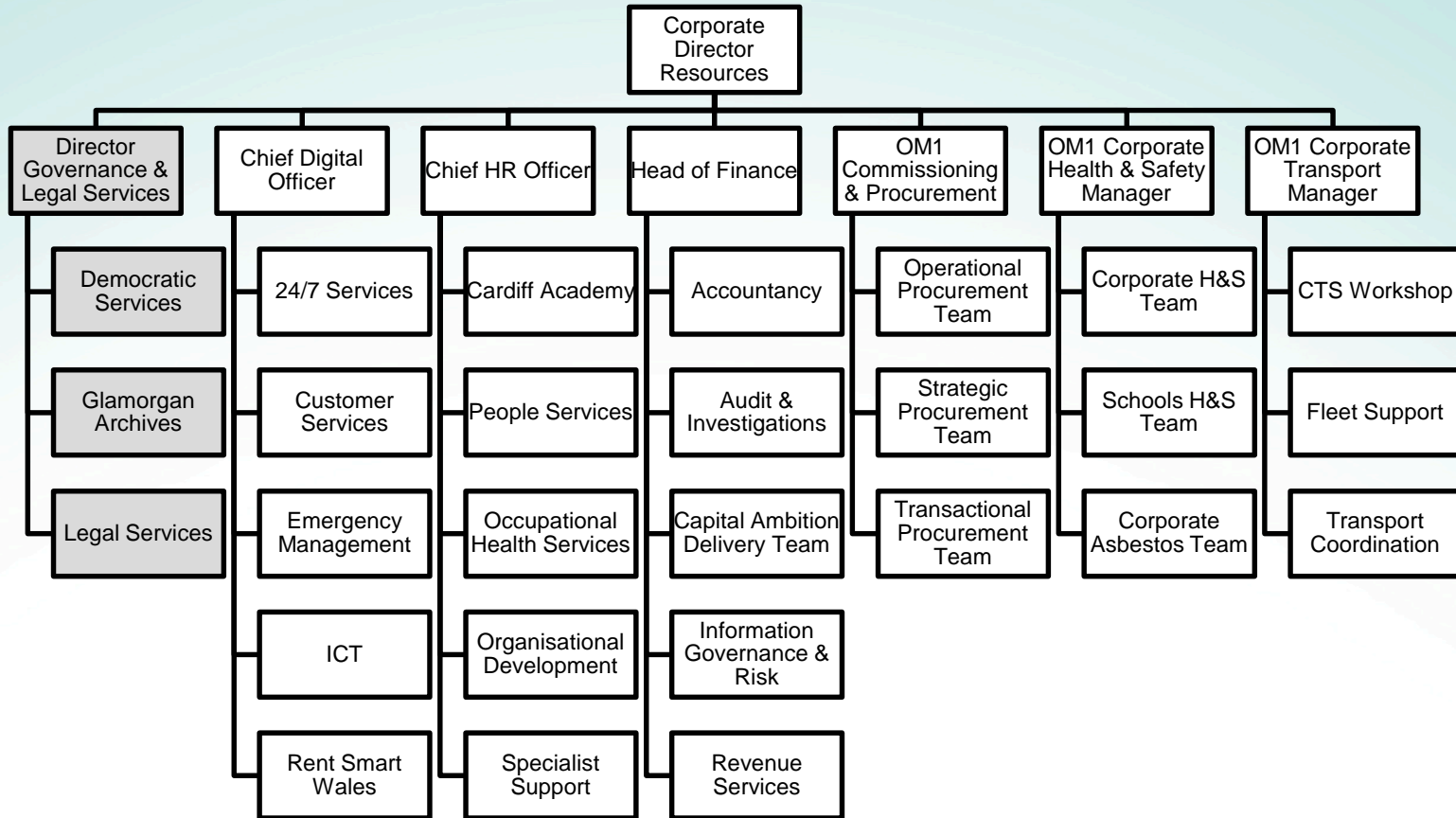


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Establishment



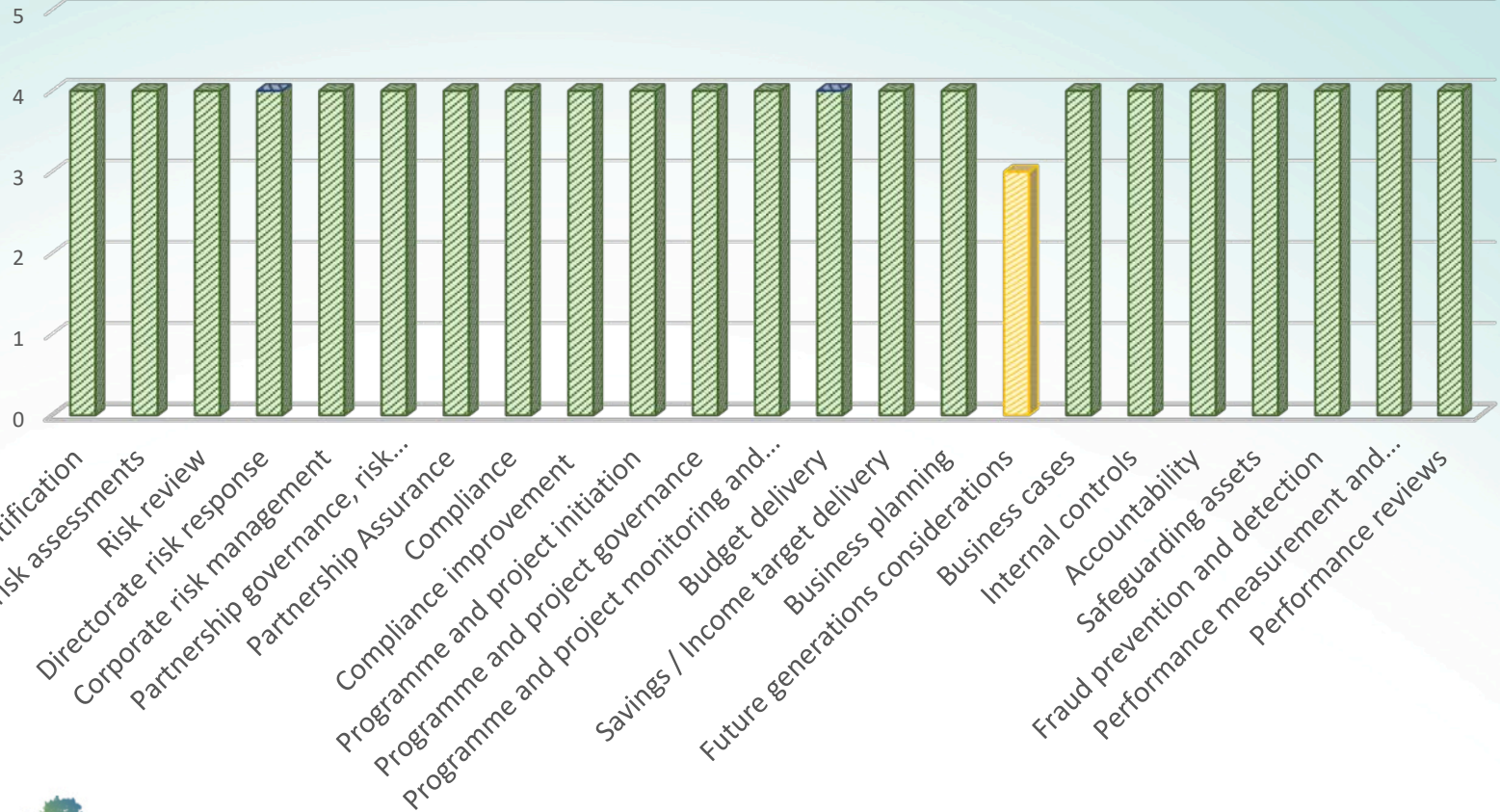
Corporate Risks

Inherent Risk Rating	Corporate Risk Title	Residual Risk		Target Risk	
		Rating	Movement from Q1	Rating	Movement from Q1
A1	City Security	B1	↔	B1	↔
	Financial Resilience	B2	↑	C2	↑
	Cyber Security	C1	↔	E1	↔
	Budget Monitoring (Control)	C2	↔	D2	↔
	Health and Safety		↔	D3	↔
	Information Governance	D1	↔	D2	↔
A2	ICT Platforms Unsuitable/ Outdated	B2	↔	D3	↔
B1	Business Continuity	D1	↔	D1	↔
	Delivering Capital Ambition Programme		↔	D2	↔
B2	Fraud, Bribery and Corruption	D2	↔	D3	↔
	Workforce Planning		C3	↔	C3



Senior Management Assurance Statement

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



Audit Recommendations

Audit	Report Status	AUDIT OPINION	Outstanding Actions	Completed Actions	Total Actions	Implementation Status
2018/19						
Commissioning and Procurement - Resources	Final	Effective with opportunity for improvement	2	5	7	Not yet due
Creditor Payments Processes (including procurement)	Final		0	4	4	Completed
Health and Safety Framework	Final		1	0	1	Not yet due
Risk Management	Final		0	4	4	Completed
Cloud (saas)	Final		0	2	2	Completed
IT Governance	Final		2	3	5	Not yet due
Income and Debtors	Final		1	2	3	Not yet due
VFM - Review of Sickness Absence	Final		0	2	2	Completed
Purchasing Cards	Final	Insufficient with Major Improvement Needed	2	4	6	Not yet due
2019/20						
Main Accounting- In year testing 2019	Final	Effective	1	0	1	Not yet due
Treasury Management	Draft		5	0	5	
Insurance	Final	Effective with opportunity for improvement	12	0	12	Not yet due
Payroll 2018/19 - In year Testing	Final		3	3	6	Not yet due
Payroll Overpayments	Final		1	1	2	Not yet due
Stock Systems - Vectec	Final		4	2	6	Not yet due
Information Governance	Final		6	0	6	Not yet due
VFM - Overtime	Final		0	1	1	Completed
VFM - Personal Review	Final		2	0	2	Not yet due
VFM - Consultancy, Interim and Agency Workers	Final		0	2	2	Completed
Identity and Access Management	Draft		5	0	5	Not yet due
Purchasing Cards (CTS)	Final		0	3	3	Completed
Stock Systems - Tranman	Final	Insufficient with Major Improvement Needed	0	9	9	Completed
IT Inventory and Asset Management	Draft		4	0	4	Not yet due



Health & Safety - Key Improvements

1. H&S Policy and Guidance

Corporate Policy re-written and 16 other Policies and Guidance documents reviewed and updated. All H&S policy & guidance currently being translated, a quick guide to be included on the intranet once completed. Terms of Reference for the Health & Safety Advisory Group reviewed and updated – change to a strategic Forum to agree H&S strategy and policy prior to reporting to Cabinet.

2. Corporate H&S Team

H&S Team established in May 2018. Multidiscipline Team, with extensive experience. Support provided for high risk issues within service areas. Introduction of new processes to manage and monitor health and safety performance.

3. Schools H&S Team

- Established in September 2018.
- Programme of improvement works implemented:-

Statutory Maintenance Compliance
Fire Safety
Legionella
Asbestos Review
Review Policy and Risk Assessment
Traffic Management Risk Assessment
Lock Down Procedure
Food Safety Review
Roller Shutter
Contractor Vetting
Moving & Handling Equipment
Food Preparation Review

4. Violence at Work

ALERT System Implemented across the Council. Currently **1200 users and rising....**
400 Records held.
Corporate Violence at Work Policy Updated.
Revised Policy for Keeping Schools Safe Issued.

5. Statutory Maintenance

Implementation of RAMIS
500 Building Management Responsibilities

Current Compliance rating:

Communities (including Street Scene) - 81%
PTE – 79%
Social Services 76%
Education (Including Schools) – 75%
Economic Development – 65%
Overall Council Compliance 75%

7. Street Scene

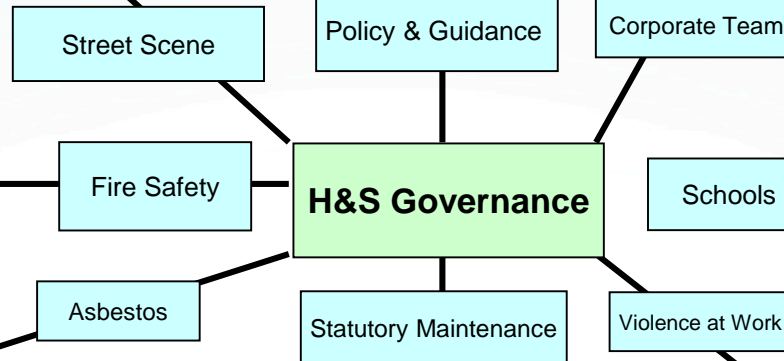
Physical Improvements to Lamby Way
Review of Risk Assessments/Safe Systems of Work across all services.
High risk issues progressed
H&S Training Provided
New welfare facility planned – April 20.
External review completed – positive feedback received.

7. Fire Safety

- Fire Safety Officer recruited to undertake fire risk assessments in house.
- Rolling programme of reviews in place.
- All potential ACM's reviewed.
- Revised policy and guidance issued.
- Fire safety remedial works monitored and reported through H&S meetings, SMT, H&S Forum.

6. Asbestos

Assessment of all asbestos information held. All buildings categorised as High, Medium or Low risk.
Programme of New Surveys Implemented
Asbestos Management Plan drafted – Cabinet Feb 20.



CREW GWIR IN THESE STONES
BELON YDR HORIZONT
OR WYMAIS AWENING

H&S Next Steps

Corporate H&S

- Continued Improvement in Statutory Compliance
- Review of Leased Premises
- Asbestos Management
- Legionella Management
- Fire Safety
- Stress & Wellbeing

Schools H&S

- Headteacher Training
- Hygiene Inspections
- Statutory Compliance
- Traffic Management
- Violence/Aggression
- Stress and Wellbeing
- D&T Review

