

Resources – Control Environment Update

Chris Lee (Corporate Director Resources)

Governance & Audit Committee
25 January 2022



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

Contents

- Directorate Team outline
- Key Priorities and Remit
- Risks Management
- Internal Audit Assurance
- Performance Management
- Partnership & Collaboration
- Senior Management Assurance Statement Review
- External Assurance
- Value for Money



Directorate Team



- Chris Lee – Corporate Director Resources
- Isabelle Bignall Chief Digital Officer
- Tracey Thomas Chief HR Officer
- Ian Allwood Head of Finance
- Steve Robinson Commissioning & Procurement OM

Approximately 700 FTE staff across all functions



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

Key Priorities and Remit



Directorate has an extensive remit with the Council's Corporate Plan:

Crucial part to play in ensuring Wellbeing Objective 6 and 7
Modernising and integrating our public services and Managing the
Pandemic”

Wellbeing 7 can be broken down into

- Recovery – Finance
- Digital
- Social Value
- Workforce
- Customer



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

Risk Management



Key risks include

Corporate (high level risks): (see Appendix A)

- Financial Resilience / Budget monitoring
- Cyber Security / Information Governance
- City Security / Fraud Bribery & Corruption
- Business Continuity

Directorate (operational risks)

- Recovering to service levels as a result of pandemic
- Controlling costs and maintaining contracts
- Maintaining access to the right skill
- Resilience of IT systems against attacks



Report sets out the red / amber residual risks



Internal Audit Assurance



Audit	Report Status	Assurance Rating	Outstanding Actions	Completed Actions	Total Actions	Implementation Status
2021/22						
Special Leave	Final	Effective opportunity improvement with for	2	0	2	2 recommendations due 31.01.22
Disciplinary Policy	Final	Effective opportunity improvement with for	4	0	4	4 recommendations due 30.09.22
Treasury Management	Final	Effective opportunity improvement with for	2	0	2	2 recommendations due 31.03.22
Establishment Reviews	Final	Insufficient with major improvement needed	3	0	3	3 recommendations due x 31.03.22
2020/21						
Contract Monitoring and Management	Final	Insufficient with major improvement needed	1	0	1	1 recommendation due 31.03.22
Creditor Payments - in-year testing 2020/21	Final	Effective opportunity improvement with for	1	3	4	1 recommendation due 28.02.22
Insurance	Final	Effective opportunity improvement with for	2	1	3	1 recommendation due 31.01.22, 1 due 31.03.22
Cardiff Bus – The governance relationship with Cardiff Council	Final	Insufficient with major improvement needed	3	2	5	3 due 30.06.22
Additional Payroll Payments	Final	Effective opportunity improvement with for	1	0	1	1 recommendation due 31.03.22
Complaints and Compliments	Final	Effective opportunity improvement with for	1	2	3	1 recommendation due 31.03.22
2019/20						
Insurance - In year testing 2018-19	Final	Effective opportunity improvement with for	1	11	12	1 recommendation due 31.03.22
Payroll 2018/19 - In year testing	Final	Effective opportunity improvement with for	1	5	6	1 recommendation due 31.01.22

22 outstanding actions and commentary is included in paragraphs 16 to 27 of the report



Performance Management



There is a well embedded Performance Management Framework in place and is subject to review and challenge to ensure adherence

Quarterly monitoring and review process in place for reporting on progress of delivery of Corporate Steps and Measures (KPIs)

Robust governance and assurance in place for reviewing and reporting:

- RAG rating by owners of Corporate Steps and Measures
- Progress, issues and mitigations included in review and reporting
- Outcomes challenged by director and performance team
- Two way communication with performance management team

Any issues are escalated to Senior Management Team



Partnership & Collaboration



Examples have been provided in the main body of the report on Partnerships, Collaborations and how these are governed, these relate to:

- Cardiff Bus
- Cardiff Capital Region City Deal
- Pension Board

The partnerships and collaborations linked to the above helps to ensure the delivery of mutually beneficial outcomes. It also provides a more resilient base, to mitigate risks and fill skill any resource gaps.



Senior Management Assurance Statement Review



Half Year Review undertaken in November 21 by Operational Managers, SMAS Champion and Director, including evidence for each statement

Vast majority of statement reviews rated as “Strong Application”

The report sets out the actions for improvement to be undertaken by the Resources Directorate. Seven of the nine assurance areas have identified actions

(Details included at Appendix B of the report)



External Assurance



Two key external assessments have been undertaken in the directorate over the past 18 months:

Audit Wales: Statement of Accounts

- ISA260 issued with an unqualified opinion.
- The need for close working relationship between officers and Auditors

Payment Card Industry Data Security Standard (PCI DSS)

- Regular assessments in order to track progress to 100% compliance
- Currently at 92.1% compliant and on track for 100% compliance 28 February 2022



Value for Money



The directorate has itemised a number of Value for Money areas in the main body of the report, some examples are as follows:

- E billing of Council tax bills and the links with the Cardiff App
- Implementing and rolling out Hybrid mail solutions out across the Council
- The implementation of Microsoft 365 and Teams across the Council in order to provide an effective platform for remote working cost-neutral planning services

Financial Services also plays a key role in challenging council wide that 'Value For Money' is delivered.





Questions



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