Assurance – Q1 2016/17

1. SUMMARY

1.1 SERVICE DASHBOARD

Finance	Revenue Budget Variance	Capital Actual Variance
	0 (0%)	N/A

1.2 KEY SUCCESSES AND CHALLENGES

Key Successes

Corporate Anti-Fraud Team (CAFT) and Internal Audit and Risk Management

- **CAFT** Tenancy Fraud investigations have recovered 16 properties prevented 4 'right to buy's this quarter and stopped one housing application.
- Successful Tenancy Fraud Prosecution has resulted in a compensation order of £127,000 back to the council.
- **CAFT** Disabled Blue Badge investigations - One proactive exercise was carried out by CAFT during the quarter one - during this exercise 66 badges were checked for validity which resulted in 6 badges being seized for misuse. In addition to this operation 45 new referrals have been received for investigation relating to blue badge fraud and/or misuse.
- **CAFT** and **Risk Management** have launched and delivered to all Delivery Units a new 'The Fraud Risk Awareness Module' as part of the Council's Management Academy. The Fraud Risk Awareness Module was designed, developed and delivered by CAFT and Risk Management teams and coincides with the start of our 2 year CAFT publicity and awareness campaign which also saw the launch of new CAFT's posters in and around Council buildings and the launch of our new 'Barnet Fraud Reporting App'.
- For 2016/17 **Internal Audit** have aligned our reporting framework and associated scoring framework with the methodology applied across the Cross Council Assurance Service (CCAS) of which Barnet is a member. This is part of on-going process of improvements that have been facilitated through the framework. Key points as follows:-
  - ➤ A systematic point's based scoring system will be used to determine aggregate assurance ratings for individual audits. Findings from each review will be assessed and a score applied based on the risk rating. The total number of points per the audit will determine the assurance rating as set out in our revised Audit Charter.
  - ➤ Reports that are "Limited assurance" and "No assurance" will continue to be reported to Audit Committee in line with current arrangements. A key point to note is that previously all reports that have a "high risk" finding were classed as "limited assurance." This may not necessary occur based on the revised scoring framework; and
  - ➤ The revised system will assist in ensuring consistency in the application of overall assurance ratings for work performed.

Key Successes

Governance Service
Planning Committees – worked with Members and Planning Service to re-draft constitutional provisions relating to Planning Committees and implement a system of pre-application consideration of strategic planning applications. This has included agreement of constitution amendments at a special meeting of the Constitution, Ethics and Probity Committee and Full Council in May, delivering Member training during July, and making refinements to the new arrangements following Member feedback during July.
School Admissions Appeals – delivery of summer appeals whilst managing business as usual
E-Petitions Site – migration of e-petitions site from external site MySociety site to Modern.Gov system saving £2K per annum

Electoral Services
Delivery of Mayor of London and London Assembly elections on 5 May
o   Despite the major issue with polling station registers on polling day, turnout was 49.6% (> 6% higher than at the equivalent elections in 2012). The result was clear and accepted as correct.
Delivery of EU Referendum on 23 June
o   All elements of the referendum were successfully delivered just seven weeks after the GLA elections and incorporated all recommendations made in the report of the independent investigation into the problem with registers at the GLA elections. Turnout in Barnet at the referendum was 72.2% overall (and a record 85% for postal voters).

Key Challenges	Actions Required
Risk Management – refresh of all risk registers and updating of framework ahead of the transfer of Risk into the Performance Team provides a number of challenges in relation to business as usual.	**Risk Management** - project underway with co-sourced Audit Partner Risk Specialists in order to achieve deadlines for reporting all revised risk registers, including corporate risk register and updated risk management framework.
Governance Service Members IT – the Governance Service are currently working in partnership with Capita IS to improve Members IT support arrangements and ensure that technology supports them to be effective in the various roles as Members. A project is underway to: establish the baseline for the Members IT Service; consider improvements to the existing arrangements; enable Members to have an input into delivery of the IT Strategy; inform the procurement of a committee papers content management system; and define the arrangements for delivering Members IT post-election in 2018. A £50K saving on print and courier has already been applied to the Governance Service budget which is currently unachievable due to Members having iPads and continuing to receive papers copies of agendas.	Governance Service to participate in Members IT Working Group to deliver project deliverables to improve support to Members and deliver savings targets.

Key Challenges	Actions Required
Electoral Services • Delivery of the 2016 HEF Canvass	Plan and deliver the HEF canvass (including public awareness communications) – publish the updated Full Register on 1 December 2016
• Annual Review of Polling Districts and Polling Places	Plan and deliver the Annual Review of Polling Districts and Polling Places (including seeking representations from public and other stakeholders). Draw up proposals on behalf of the Returning Officer
• Procurement exercise for the Elections and Registration software system (next four years)	Liaise with Corporate Procurement to run a fully compliant procurement exercise to licence a four year deal for Elections and Registration software management system.

2. Finance

2.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget £000	Budget V1 £000	Q3 Forecast £000	Variation £000		
Elections	348	356	356	0		0.0%
Assurance Management	565	579	579	0		0.0%
Governance	2,144	2,171	2,171	0		0.0%
Internal Audit & CAFT	736	756	756	0		0.0%
Total	**3,793**	**3,863**	**3,863**	**0**		**0.0%**

2.2 Capital
N/A

3. Performance

3.1 Overview of performance for Corporate Plan and Service indicators

The service does not report on any indicators.

4. Key Actions

The service does not report on any key actions.

5. Customer Experience

The service does not report on any customer experience data.

6. Risk

The service risk register is being refreshed.

7. Equalities

The service does not report on any equality data.