

Assurance – Q3 2016/17

1. SUMMARY

1.1 SERVICE DASHBOARD

Finance	Revenue Budget Variance				Capital Actual Variance		
	0% (0)				N/A		
Risks	Low	Medium Low	Medium High	High	Reduced/Same	Increased	New
	0% (0)	29% (4)	71% (10)	0% (0)	100% (14)	0%	0%

1.2 KEY SUCCESSES AND CHALLENGES

Key Successes

Governance Service:

Residents Forums / Area Committees – implemented revised arrangements for Residents Forums / Area Committees to enable Forums to be held in constituency areas and be separated from Area Committees. Area Committees will be taking place on separate evenings enabling senior officer representation from the council at every Area Committee meeting. Revised procedures for managing petitions have been implemented which will improve the speed of the council’s response and minimise referrals between committees.

Governance Service:

Barnet Youth Assembly – Barnet Youth Assembly (a joint Children’s Service / Governance Service initiative) has now met on a number of occasions and considered a number of themes including post-16 education and training and health. Further sessions will take place in Q4 on politics (including a number of external speakers) and community, before a report to the Children, Education, Libraries & Safeguarding Committee on the work of the Assembly is reported in May 2017. Linked to the work of the Assembly, one of the Governance Team has been a judge at the Speak Out Challenge which took place on 24 January.

Internal Audit:

All planned audits for 2016/17 are either complete or underway and we are on track to meet our target of 95% of the plan delivered by the end of the year.

Key Successes

Electoral Services: Publication of the annual revised 'Register of Electors' took place on 1 December 2016 following a successful statutory annual 'HEF' (Household Enquiry Form) canvass of all residential properties in Barnet. This was the first canvass that utilised mobile tablet devices for the delivery of the 'personal visits' element of the canvass – that are necessary where households do not respond to posted forms. Over 51k properties received a personal visit and information was collected from 93.1% of all residential properties in the borough.

CAFT: Introduction of Formal Cautions for low level criminal offences. 19 cautions administered during the 3rd Quarter.

Key Challenges	Actions Required
<p>Governance Service Print and Courier – an over-reliance on paper agendas for Members and members of the public is creating cost pressures, particularly as savings have been applied to the Governance cost centres</p>	<ul style="list-style-type: none"> • Members iPad Workshops are taking place during Q4 to encourage use of iPad app to facilitate paperless meetings • SCB have been requested to use Modern.Gov iPad app for committee papers. Guidance and training has been provided • A trial of tablets for members of the public at meetings will take place in Q3 to determine if savings can be made on public agendas
<p>Internal Audit Challenging as ever to obtain management responses to audit findings within required timescales for Audit Committee reporting. Every quarter there is a last minute rush to manage.</p>	<ul style="list-style-type: none"> • Moved to 'Agreed Actions' rather than 'Recommendations' within audit reports to increase buy-in • Follow-ups now undertaken on monthly basis to keep expected actions on officers' radars
<p>Electoral Services Delivery of the 16 recommendations from the Independent 'Smith Review'.</p>	<ul style="list-style-type: none"> • Develop, implement and review action plan for delivery of the Smith Review recommendations (currently in development phase with Assurance Director and HoS).

Key Challenges	Actions Required
<p>Resolve accommodation challenges related to elections. A suitable, available and cost appropriate venue must be identified from which future borough-wide elections can be planned, managed and delivered. Venue at BEST hub (used for 2016 elections) is not expected to be available for scheduled elections in 2018. Also long term storage arrangement required for elections equipment and statutory storage of elections documentation (currently housed at Mill Hill Depot site).</p>	<ul style="list-style-type: none"> • Possible site at Colindale RAF museum identified. Further discussions to be held with museum director and TWW project team to review. Other possible venues still to be sought. • Discussions underway with Depot relocation Programme Director re: Elections storage (one possible site identified in Harrow – but other election storage proposals expected shortly).
<p>CAFT: Preparation for the NFI – submission of all data from LBB, CAPITA and Barnet Homes</p>	<ul style="list-style-type: none"> • Coordination of uploads to the NFI website and to ensure that only relevant data is used. High level communication required with Directors from LBB, CAPITA and Barnet Homes

2. Finance

2.1 Revenue

Assurance						
Description	Variations				Comments	% Variation of revised budget
	Original Budget	Revised Budget	Quarter 3	Variation		
	£000	£000	£000	£000		
Elections	348	357	357	1		0.2%
Assurance Management	565	579	579	-		0.0%
Governance	2,144	2,165	2,162	(3)		-0.1%
Internal Audit & CAFT	736	754	755	1		0.1%
Total	3,793	3,855	3,854	(1)		0.0%

2.2 Capital

N/A

3. Performance

3.1 Overview of performance for Corporate Plan and Service indicators

This service does not report on any indicators

4. Key Actions

This service does not report on any key actions

5. Customer Experience

This service does not report on any customer experience data

6. Risk

The 5 X 5 matrix (heat map) below shows the residual risk assessment (probability and impact scores) for each risk.

		LIKELIHOOD					
		1	2	3	4	5	
		Rare	Unlikely	Possible	Likely	Almost Certain	
IMPACT	5	Catastrophic					
	4	Major		4	1		
	3	Moderate		1	5		
	2	Minor			3		
	1	Negligible					

Risk Commentary:

- Overall there has been a review of the Assurance Group Risk Register in the quarter and of the 14 risk on the register is one rated are12. The rating for AG003 has decrease from Q2

- **Risk AG003 - Insufficient resources for Electoral Services**

The Smith Review of Electoral Services was very positively received and all recommendations were accepted by the RO and GFC in Nov 16. The implementation of a number of these recommendations and the reviews acknowledgement of existing strengths within the service has allowed this risk to be assessed at a lower rating.

- Risk AG012 – the service will review the process for protecting data when people email sensitive information to them (e.g. scans of passports etc...)

To ensure that the controls in place are effective and appropriately managed risks are reviewed monthly at Assurance Group Management Meetings.

During this quarter no risks are considered appropriate to escalate to the Corporate Risk Register.

The table below lists all risks rated 12

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AG012	Data protection breach in Electoral Services	Insufficient communications and awareness on data protection could lead to a human error data protection breach in Electoral Services, resulting in financial and reputational damage	Head of Electoral Services	Information Governance	All information is kept in one secure software system, with restricted access. Staffs have appropriate training. Policy and working process in place to ensure data is kept secure.	4	5	4	3	12	Same	Treat

7. Equalities

The service does not report on any equality data.