

Assurance Group – Q2 2014/15

1.1 DELIVERY UNIT DASHBOARD

Projected Revenue budget variance £000 ^[1]	Capital actual variance £000	Corporate Plan Performance	Change projects
(67)	N/A	N/A	N/A

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements

Successful implementation and transition to 'Individual Electoral Registration' (IER) including full register data matching with DWP/HMRC/C-Tax records (achieving >83% transfer of existing electors to the new IER register which is above the national average)

We have completed 3 joint Internal Audit and Corporate Anti-Fraud Team (CAFT) reviews (Your Choice Barnet contract management, Disabled Blue Badges and Passenger Transport Contracts). These reviews have all involved multiple delivery units and partners and have required a high level of co-operation and collaboration across parties. All three audits provided Limited Assurance and the required actions are being implemented.

CAFT issued 32 benefit fraud sanctions in Q2, bringing the half year total to 47. In addition, CAFT successfully delivered face to face fraud awareness training for the majority of housing options staff with a view to detecting housing application fraud. This is on-going.

Key Escalations	Actions required
The legislation for the transitional IER canvass requires that all residential properties that have no registered electors are canvassed	The IER canvass to complete the mail-out and door-to-door canvassing of all 11% (remaining properties without electors and of all

(using mail-outs and personal visits) and that all non-IER registered electors are personally canvassed (mail-outs and personal visits.) The IER Canvass has currently transferred an additional 6% onto the IER register for a total of >89% of electors onto the IER register.	electors currently still only registered under 'household' registration.) The new Electoral Register will be published on 1 December 2014
There are a number of vacancies in CAFT, Internal Audit and Governance that are having an impact on operational delivery.	Recruitment is on-going to these posts, whilst short term contingency plans are being put in place.

2. BUSINESS PLANNING

2.1 How is the Delivery Unit achieving against its Business Plan

The Assurance Group do not have any corporate priority indicators but our business does have an impact on the delivery of corporate priorities.

- In July, Council successfully appointed to all committees. The majority of them have a published forward work programme of business for the year. In addition, Constitutional changes from experience of first cycle of committee meetings have been agreed by the Constitution, Ethics and Probity Committee and by Council in September.

Objectives for the remainder of the year focus on delivery of business as usual and delivery of agreed work plans. Alongside this the external review has now been finalised and the report has been published and is in public domain; recommendations are being considered.

3. RESOURCES AND VALUE FOR MONEY

3.1 Revenue

Assurance						
Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q2 Forecast	Variation		
	£000	£000	£000	£000		
Assurance Management	562	527	527	0		0.0%
Governance	2,582	2,631	2,559	(72)	Savings expected from a revised member allowance scheme.	-2.7%
Internal Audit & CAFT	861	900	904	4		0.5%
Total	4,005	4,057	3,990	(67)		-1.7%

4. OVERVIEW OF DELIVERY UNIT

4.1 Managing the business

No Additional issues to report.

4.2. Risk Overview

The following is the 5 X 5 matrix 'heat map' highlighting the number of risks at a Directorate Level and where they are currently rated:

		IMPACT					
		1	2	3	4	5	
PROBABILITY	SCORE	Negligible	Minor	Moderate	Major	Catastrophic	
	5	Almost Certain	0	0	0	0	0
	4	Likely	0	0	0	0	0
	3	Possible	0	1	3	2	1
	2	Unlikely	0	0	1	2	0
	1	Rare	0	0	0	0	0

Risk Commentary for Delivery Unit:

Risks are reviewed on a bi-weekly basis. The controls on AG0032 have been slightly amended to reflect the current position: however the rating remains the same. The controls on the Governance staffing risk AG0333 have also been slightly updated, recruitment process is on-going and the target risk assessment will likely be achieved by end of quarter 3. AG0029 is un-changed, the controls remain appropriate.

The following risk register lists those risks rated as 12 and above:

Risk	Current Assessment			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment		
	Impact	Probability	Rating				Impact	Probability	Rating
AG0032 If unlawful or unconstitutional decisions are made they could be invalidated and business of the Council could not proceed	Catastrophic 5	Possible 3	High 15	Fit for purpose guidance and advice to officers and members of the committees and decision making bodies. Constitutional updates to take place and the correct advice provided. Constitution Ethics and Probity Committee to oversee on-going review of Constitution on advice of Monitoring Officer, Head of Governance and HB Public Law officers. Process in place to ensure Legal clearance on all Council and Committee reports and close liaison between Governance and Legal. External review finalised and report	Treat	Quarterly	Catastrophic 5	Rare 1	Medium Low 5

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
				published and in public domain and recommendations are being considered.					
AG0029 Failure of Directorates to meet statutory deadlines; failure to obtain all late approvals for reports; non urgent, late reports circulated	Major 4	Possible 3	Medium High 12	Publication of agenda/report deadlines and clear process guidance on intranet. Forward planning documents in place for all committees and published on moderngov. Governance Link officers in services and Governance Service team to proactively manage relationship to identify problems in advance and plan round them. Use of Corporate Forward Plan to coordinate activity.	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8
AG0033 Lack of capacity within Governance Service resulting in reduction in the quality of support offered to decision making process	Major 4	Possible 3	Medium High 12	Recruitment is on-going, whilst short term contingency plans are being put in place, and Workloads / pressures and deadlines are regularly reviewed .	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8