

Assurance Group – Q2 2015/16

1. SUMMARY

1.1 DELIVERY UNIT DASHBOARD

Financial	
Projected year-end revenue budget variance	Capital actual variance
(31)	n/a

	Performance	Commitments
Green rated	N/A	
Green Amber rated	N/A	
Red Amber rated	N/A	
Red rated	N/A	

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top Achievements

Residents Forums and Area Committee – we have developed and delivered revised arrangements to improve the council’s response to issues raised by residents and ensure that Area Committee deliver local highways and other improvement schemes in line with local priorities.

Corporate Anti-Fraud Team (CAFT) Prosecutions – in this second quarter CAFT completed a lengthy complex investigation (as summarised below) during which the Crown Court Judge took the unusual step of reading out a letter of commendation in respect of the CAFT investigation officer, who was commended for his diligence and perseverance to continue investigating the case, despite the CPS decision not to pursue the case, this led to a successful outcome.

Mr M – relates to a joint investigation with the DWP into a benefit claimant where we had concerns that numerous housing benefit claim forms were completed in similar handwriting in different names. False benefit claims were believed to have been made to the Barnet and London Borough of Haringey by the same person in at least six different identities. Further investigations with the DWP revealed more identities. Mr M was arrested and interviewed

under caution on two occasions and each time tried to blame someone else for the fraud. Mr M was found guilty of making a false application for benefit under the Social Security Administration Act 1992 and nine counts of fraud by false representation under the Fraud Act 2006 following a five week trial at Wood Green Crown Court. He had claimed £80,726.24 fraudulently in benefits. He was sentenced to three years and nine months imprisonment. Confiscation proceedings are on-going and Mr M's assets have been restrained.

Internal Audit – revised Schools Audit Approach Pilot - in conjunction with the Education & Skills team we have developed the audit approach to schools in order to give independent assurance over key non-financial risks. We are currently undertaking a pilot of those additional audit areas at schools being visited in the Autumn Term. The additional areas are:

- Pupil Premium
- Safeguarding
- Governance
- Anti-Fraud

As part of the communication with schools around the pilot, we have informed them of the new approach to follow-up audits of schools in that we will visit schools to confirm that any Priority 1 recommendations have been implemented, rather than relying on a confirmation being received from the Chair of Governors and schools have also been made aware that any Limited or No Assurance audit reports will now be published on the Council's website in line with other audits for greater transparency.

Key Challenges	Actions required
1. Print / Courier Savings 2016/17 – the Governance Service are required to deliver print and courier savings of £50K in 2016/17. This saving is at risk of not being achieved due to iPads for Members not delivering the required print and courier savings.	The Members IT and Telephony project has identified a number of areas for efficiency and improved processes which are currently being developed into detailed proposals for discussion with Members.
2. Canvassers working for the Electoral Services team (and thus on behalf of the ERO) must carry out a personal visit to every residential property within the borough from which no response has been received to the Household Enquiry Forms posted to them in August and September. The period of personal visits must be completed in time to allow for the	<p>Personal visits by Canvassers (on at least two occasions) to all residential properties within Barnet for which a HEF response is still required (currently approx. 65,000).</p> <p>Activity to confirm the eligibility status of all non-confirmed electors on the register (approx. 12,800) and, where appropriate, obtain personal</p>

publication of a complete and accurate revised Electoral Register on 1 December 2015. The Minister for Constitutional reform (John Penrose MP) has indicated that the transition to Individual Electoral Registration will also be completed on 1 December 2015, so any electors that have not been individually confirmed (since the old 'household' electoral register) must be removed prior to the publication of the Register on that data.

verification information prior to their removal for 1 December 2015

1.3 SUMMARY OF THE DELIVERY UNIT'S PERFORMANCE

The Assurance Group do not have any corporate priority indicators but our business does have an impact on the delivery of corporate priorities. Objectives for the remainder of the year focus on delivery of business as usual and delivery of agreed work plans.

- **Governance** - In addition to the Members IT and Telephony project there are a number of other Governance Service priority improvement projects to be delivered during 2015/16 including a review of the committee system and constitution.
- **Electoral Services** - as detailed above, work is on-going in relation to the upcoming canvass and publicity campaign.
- **CAFT** – have put in place new working arrangements with the DWP to deal with the new SFIS and will continue to focus on fraud other than benefit fraud such as detailed within their annual work plan. Tenancy Fraud (TF) remains a priority at end of Q2 CAFT have recovered 20 properties, prevented 14 fraudulent Right to Buy Applications, denied 5 new fraudulent Homelessness Applications and prevented 2 Successions applications. .
- **Internal Audit** – At the end of Q2 IA has issued 24 reports and delivered 42% of the Annual Plan
- **Risk Assurance** – has to continue work to ensure that Risk Management arrangements across the council are effective and has worked closely with services to review and update risk registers for Q2.

2. Performance

The Delivery Unit do not report against any performance indicators.

3. Commitments

Commitments are the activities to be undertaken to ensure the outcomes set for each service are met.

3.1 Overview of progress against Commitments

RAG ratings				No. of Commitments due this quarter
Green – Commitment met	Green Amber – Commitment delayed Low Impact	Red Amber – Commitment delayed High Impact	Red – Commitment not started	

Section 3.2, below, outlines the Commitments which were due to be completed this quarter, but have not been completed to schedule. Appendix B of this document outlines the Commitments which were completed to schedule.

2.2 Commitments that were due but not met during the quarter

Reference	Intention <i>As set out in the relevant commissioning plan</i>	Commitment <i>The activity required as part of delivering the intention</i>	<i>The progress to date</i>	Comments and Proposed Intervention
AS/003	N/A	Review of Committee System first year of operation completed and recommendations considered by elected members. (Due December 2015)	On Track - Green	Agreed in July that the Review would be completed and reported to full Council in December 2015. Currently on track.

44. Financial

4.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q2 Forecast	Variation		
	£000	£000	£000	£000		
Elections	423	426	423	(3)		-0.8%
Assurance Management	527	530	511	(20)	Underspend mainly due to staff cost savings	-3.7%
Governance	2,311	2,375	2,368	(7)	underspend on car leasing	-0.3%
Internal Audit & CAFT	850	867	867	-		0.0%
Total	4,110	4,199	4,169	(31)		-0.7%

4.2 Capital

Input by Finance

5. Risk

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:

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

Risk Commentary for Delivery Unit:

There are no risks at Assurance Group Level rated 12+

Risks are reviewed regularly at Senior Management Team meetings. The controls described are an accurate reflection of the on-going activity to control and reduce risk.

The following risk register lists those risks rated as 12 and above: None

6. Equalities - N/A

Equalities description	Comments and Proposed Intervention

7. Customer Experience - N/A

Customer Experience description	Comments and Proposed Intervention

Appendix A - N/A