

Assurance Group – Q3 2015/16

1. SUMMARY

1.1 DELIVERY UNIT DASHBOARD

Financial		Performance	Commitments
Projected year-end revenue budget variance	Capital actual variance	Green rated	100% (1)
(10)	N/A	Green Amber rated	0%
		Red Amber rated	0%
		Red rated	0%

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top Achievements

Corporate Anti-Fraud Team (CAFT)

- Successful POCA case for SABET with confiscation order being awarded for £71k
- We began the Blue Badge misuse project on 1 October 2015 and it has so far been successful with 21 cases currently under investigation.
- 17 properties were recovered this quarter making it a running total of 37 which is the highest total achieved since the amnesty in November 2013.

Electoral Services

The Electoral Registration Team successfully completed the first IER 'Full HEF Canvass' as required under the new electoral registration legislation and published the first full IER register on 1 December 2015. In all a response rate of 80% was achieved across Barnet's approx. 146k residential properties.

Top Achievements

Internal Audit: We have this quarter achieved the following:

- 15 audits completed – including 2 No Assurance and 3 Limited Assurance reviews. This included a far-reaching audit & CAFT review of Street Scene.
- PwC secondment to enable delivery of rest of Internal Audit plan
- Peer Review underway
- Revised schools audit approach - pilot undertaken at 6 schools in borough

Key Challenges	Actions required
<p>Governance Service Members IT – improvements are required to the support arrangements for Members IT to support them with their committee work and to enable them to communicate with their constituents and council officers. There are currently a range of issues which are being investigated by CSG and the Governance Service</p>	<p>CSG and the Governance Service are working through various issues identified by Members. It is expected that there will be a renewed an ongoing focus on supporting Members with their IT to ensure that they receive a comprehensive and value for money service. Proposed improvements and developments will be tested with a Member Working Group and a report will be presented to a future meeting of the Performance & Contract Management Committee detailing the changes.</p>
<p>Electoral Services 1) Figures from the HEF Canvass indicate that there are approx. 8,500 un-registered eligible electors within Barnet. These individuals have clearly been hard to reach and/or verify so the team will have to be diligent and resourceful in applying both new and existing methods of contacting and encouraging registration. In addition the ever increasing pace of the regeneration across certain areas of the borough also requires that new ways are found to ensure that the many private and social renter residents (where the highest turnover of occupancy occurs) are registered quickly and accurately.</p>	<p>1) Communications plan created and implemented utilising remaining IER funding 2) ITRs and individual canvass as required 3) Leaflet and other communications to new-builds & regeneration sites and to wards and polling districts with high resident ‘churn’</p>

Key Challenges	Actions required
<p>Barnet's electorate is considered likely to achieve a new record high by the middle of the year.</p> <p>2) Preparation for delivery of the GLA and London Mayoral elections in May. New challenges being posed by the loss of NLBP Building Four (Postal Voting) and the old NLBP Conference and Training Rooms (Poll Staff training and Ballot Box preparations). Ongoing challenge posed by the (now) annual review of polling districts and polling places.</p> <p>3) Potential for an EU Referendum as early as June 2016</p>	<p>1) New locations identified, assessed and booked to accommodate all required election activities (preparation, nominations, ballot box collection and return, postal vote opening and verification etc...)</p> <p>2) Processes reviewed and (where necessary) created to implement election activities in newly identified locations</p> <p>3) Implement decisions on RO's proposals for the review of polling districts and polling places</p> <p>1) Early preparation activities for EU Referendum in place where possible and/or appropriate</p>

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.

3.2 Commissioning Intentions

RAG	Description
Green	Commitment Met
Green Amber	Commitment delayed, Low Impact
Red Amber	Commitment delayed, Medium Impact
Red	Risk of Not Delivering Or High Impact

Reference	Intention <i>As set out in the relevant commissioning plan</i>	Commitment <i>The activity required as part of delivering the intention</i>	Status <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.

4. Financial

4.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q3 Forecast	Variation		
	£000	£000	£000	£000		
Elections	423	392	391	(1)	Underspend mainly due to staff cost savings	-0.3%
Assurance Management	527	565	551	(13)		-2.4%
Governance	2,311	2,375	2,377	1		0.0%
Internal Audit & CAFT	850	867	871	4		0.4%
Total	4,110	4,199	4,189	(10)		-0.2%

4.2 Capital

N/A

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:

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

Risk Commentary for Delivery Unit:

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:

Risk	Current Assessment			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment		
	Impact	Probability	Rating				Impact	Probability	Rating
AG0029 – Compliance As a consequence of Delivery Units failing to understand the report clearance process, statutory deadlines and lead in times for committees there is a risk of: a high number of late reports; a risk that report authors fail to gain the requisite clearances; and 'to follow' or urgent late reports are submitted	Possible 3	Major 4	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 modern.gov Governance Link Officers in services and Governance Service team to	Treat	Quarterly	Unlikely 2	Major 4	Medium Low 8

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
for committee decision				<p>proactively manage relationship to identify problems in advance and plan round them.</p> <p>Use of Corporate Forward Plan to coordinate activity.</p> <p>Outreach work in Delivery Units to ensure that senior officers and report authors understand the governance framework</p>					

Appendix A

Commitments which have been completed on schedule

Intention	Commitment	When	Status
N/A	Review of Committee System first year of operation completed and recommendations considered by elected members. Officers will take forward actions relating to reporting performance information to theme committees as requested by Members.	December 2015	GREEN