

Assurance Group– Q4 2014/15

1.1 DELIVERY UNIT DASHBOARD

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

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements

Freedom of the Borough Event (February 2015) – Assurance Group supported delivery of a successful event which conferred the Freedom of the Borough on Rabbi Mirvis

Local Pension Board – agreed local arrangements for the introduction of a Local Pension Board to comply with new regulations coming into force on 1 April 2015.

Schools Engagement Programme – The first round was delivered in March 2015. Programme to be rolled out during 2015/16

Assurance mapping exercise undertaken to support 2015/16 Internal Audit, CAFT plan. This exercise helps to ensure that key risks are assured across the Council – driving out gaps and overlaps in the assurance jigsaw. We have used this approach to help inform where internal audit / CAFT resource should be directed in 2015/16 to ensure that duplications of assurance activities or gaps in coverage are identified, and that the internal audit / CAFT budgets are used efficiently and effectively. The assurance map will continue to be updated on an on-going basis

Electoral Registration sent every household in the borough a 'Household Notification letter' (HNL) This was guided by the Electoral Commission and generated a complete canvass by letter of all residents in Barnet.

ERO/Elections and the Communications team projected a publicity campaign across Barnet. This was to encourage people to register as part of the new Individual Electoral Registration (IER) and also publicity around the UK Parliamentary elections on the 7 May 2015.

Key Escalations	Actions required
Committee System Review – review of system required to be scheduled in early in 2015/16 municipal year.	Establish project team and agree terms of reference in Q1 2015/16 to undertake review.
<p>On-going planning and preparing for the UK Parliamentary elections which will be taking place on the 7 May 2015.</p> <p>A by – election has also been called in the Garden Suburb ward. This was due to one of the member’s resigning. The election will take place on the same day as the UK Parliamentary election and arrangements are currently being made to prepare for this.</p>	Specialised project team in place to monitor preparations for elections – chaired by Chief Executive (Acting Returning officer)
CAFT now in work migration and pre staff transfer period relating to the transfer of welfare benefit work and staff to the DWP / Single Fraud Investigation Service.	On-going planning, liaison and meetings with the DWP / CAFT / Unions continue to take place. Senior Responsible Officer for CAFT appointed (Acting Assurance Director) to oversee transfer.

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.

Objectives for Q4 focused on delivery of business as usual and delivery of agreed work plans as well as development of 2015/16 work plans; such as Internal Audit, CAFT and Risk work plan and Governance Service Plan.

3. RESOURCES AND VALUE FOR MONEY

3.1 Revenue

Assurance				
Description	Budget V1	Provisional Outturn	Variation	% Variation of revised budget
	£000	£000	£000	
Assurance Management	529	634	105	19.8%
Governance	2,630	2,639	9	0.4%
Internal Audit & CAFT	901	913	(25)	-2.8%
Total	4,060	4,186	126	3.1%

4. OVERVIEW OF DELIVERY UNIT

4.1 Managing the business

No additional issues to report.

4.3. 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:

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

Risk Commentary for Delivery Unit:

The Controls on AG003 have been amended to reflect the current position, significantly the risk rating being reduced from 15 to 12.

Following a successful recruitment exercise issues concerning capacity within the Governance Team have been addressed - the team is now fully staffed.

AG0029 is un-changed, the controls remain appropriate.

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 - 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 modern.gov Governance Link officers in services and Governance Service team to proactively manage relationship to identify problems	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
				in advance and plan round them. Use of Corporate Forward Plan to coordinate activity.					
AG0032 - If unlawful or unconstitutional decisions are made they could be invalidated and business of the Council could not proceed	Major 4	Possible 3	Medium High 12	<p>Fit for purpose guidance and advice to officers and Members of the Committees and decision making bodies. Guidance reviewed on a regular basis to ensure that the principles of good corporate governance are embedded in the organisation.</p> <p>Constitutional updates to take place and the correct advice provided.</p> <p>Constitution Ethics and Probity Committee to oversee on-going review of Constitution on advice of the Monitoring Officer, Head of Governance and HB Public Law officers.</p> <p>Legal and Governance adviser (Monitoring Officer) to clear all Council reports and advise on governance / constitutional matters. HB Public Law to continue to liaise with Governance on committee issues and clear committee reports.</p> <p>All actions arising from External Review of Annual Council 2014 implemented</p>	Treat	Quarterly	Catastrophic 5	Rare 1	Medium Low 5