

Assurance – Q1 2014/15

1.1 DELIVERY UNIT DASHBOARD

Revenue budget projected year end variance £000	Capital actual variance £000	Corporate Plan Performance	Management Agreement Performance
(212)	N/A	N/A	N/A

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements

Three Elections successfully completed in the quarter – Local Elections and European Elections on the 22nd May and the deferred Colindale ward Election on the 26th June 2014.

The tenancy fraud team has recovered 17 additional properties since the teams have combined from Barnet Homes and CAFT.

Key Challenges	Actions required
Corporate Governance – ensuring that the Committee system and revised Constitution is reviewed post implementation. Ensuring that the team has the right skills and capabilities to embed the system and gain confidence of Members.	Post implementation review of the Committee system and any required changes proposed to the Constitution, Ethics and Probity Committee in September.
There are a number of vacancies in CAFT, Internal Audit and Governance that are having an impact on operational delivery.	Internal and external recruitment.
Individual Electoral Registration (IER) started in June and means a change in process for the team operationally and also for residents to understand the new requirements.	Consider percentage matched with the DWP data and

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 do have a number of corporate projects that have an impact on the delivery of corporate priorities the main one being the Committee System. There have been a number of issues in the first quarter with the start of the Committee System cycle, namely the incorrect proportionality calculation at Full Council which had an impact on the ability of the Council to hold a number of meetings whilst waiting for the definitive legal advice. The Full Council meeting on the 15th July stands to re-run the calculation post the Colindale election.

Whilst the challenges of the Committee system have dominated the quarter there have been a number of successes particularly the completion of all three Elections over the period – Local, European and the deferred Colindale Election.

In addition, there has been an early achievement of savings in relation to Member Allowances due to the revised Member Allowance Scheme proposals put forward by the Leader at Annual Council.

Objectives for the remainder of the year focus on delivery of business as usual and reviewing services in light of the priorities spending review challenges.

3. RESOURCES AND VALUE FOR MONEY

3.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q1 Forecast	Variation		
	£000	£000	£000	£000		
Assurance Management	562	563	563	(0)		-0.1%
Governance	2,582	2,631	2,419	(212)	Savings expected from a revised member allowance scheme.	-8.0%
Internal Audit & CAFT	861	861	861	0		0.0%
Total	4,005	4,055	3,843	(212)		-5.2%

3.2 Capital

N/A

4. OVERVIEW OF DELIVERY UNIT

4.1 Managing the business

There are no issues with any finance, information management or projects that are running within the service. As noted in the challenges section we currently are having issues filling posts in CAFT, Internal Audit and Governance and therefore there has been a use of temporary staff to fill gaps.

5.3. Risk Overview

The following is the 5 X 5 matrix 'heat map' highlighting the number of risks at Delivery 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	1	3	2	1
2	Unlikely	0	0	1	3	0
1	Rare	0	0	0	0	0

Risk Commentary for Delivery Unit:
 Risks are reviewed on a bi-weekly basis. Risks that have been escalated in the quarter relate to the Committee system and receiving high quality and timely legal advice on matters around the Constitution.

In addition the delay in recruiting to posts within the governance service is having a severe impact on service delivery and as such will be mitigated by temporary staff in the short term.

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

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment 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 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 co-	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		
				ordinate activity.					
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. HB Law to clear all Council and Committee reports and close liaison between Governance and Legal. NB external review currently in place to identify lessons learned etc from Annual Council.	Treat	Quarterly	Catastrophic 5	Rare 1	Medium Low 5
AG0033 If the recruitment to the governance team is significantly delayed then the capacity of the team to deliver services will be severely constrained resulting in a reduction in the quality of support offered to decision making process	Major 4	Possible 3	Medium High 12	Keep workloads under review and set out expectations for non core governance work like theme meetings and working groups. Complete process of interviewing member of staff subject to redundancy and any outstanding posts to be recruited to as soon as possible. Temp staff recruited to cover workload	Treat	Quarterly	Major 4	Rare 1	Medium Low 4