

Assurance Group– Q3 2014/15

1.1 DELIVERY UNIT DASHBOARD

Projected Revenue budget variance £000 ^[1]	Capital actual variance £000	Corporate Plan Performance	Change projects
(102)	n/a	n/a	n/a

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements

The Governance Service, Policy Unit and Finance have successfully delivered the first round Area Committee Budgets culminating in decisions at the three Area Committees in mid-January. Work is on-going to complete the award process and review the first round to inform future rounds.

Completion of 'Transitional' IER canvass and publication of Revised Register – on time and in compliance with new electoral legislation

Internal Audit Service have completed all the Key Financial Systems audits on behalf of Capita

Key Escalations	Actions required
Unexpected staff absences and time taken to complete recruitment processes has led to a short-term capacity issue in the Governance Service	Steps have been taken to increase capacity in the short-term pending the completion of the recruitment process
Increase in political and media attention on registration levels becoming apparent ahead of the May elections and following the introduction of IER.	The public awareness campaign for the May elections is being prepared with a high profile being planned right across the borough. Campaign and will now likely include a borough-wide leaflet drop, poster campaigns and social media messages. Registration

	awareness campaign to start beginning of March and run to deadline for registration applications (20 April).
CAFT now in pre transfer for period for the Single Fraud Investigation Service.	Meetings with the DWP and staff have taken place with implementation plan being prepared.
Extraction of data from Capita run systems for Audit Commission National Fraud Initiative data matches was problematic with delays.	Ensure that submission is available for future runs.

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 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; work is on- going to address the recommendations.

3. RESOURCES AND VALUE FOR MONEY

3.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q3 Forecast	Variation		
	£000	£000	£000	£000		
Assurance Management	562	527	556	29	Savings arising from the implementation of the new Governance Scheme.	5.5%
Governance	2,582	2,631	2,495	(136)		-5.2%
Internal Audit & CAFT	861	900	904	4		0.5%
Total	4,005	4,057	3,955	(102)		-2.5%

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	1	1
	2 Unlikely	0	0	1	3	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.

Capacity in the governance team remains problematic but the recruitment exercise was successful and we expect to be fully staffed by February and have taken short term measures to increase capacity.

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 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 in advance and plan round them.	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		
				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	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 Committee reports and close liaison between Governance and Legal. Clearance procedures relating to Full Council meetings now in place and fully embedded.	Treat	Quarterly	Catastrophic 5	Rare 1	Medium Low 5
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