

Assurance Group – 2013/14

1.1 DELIVERY UNIT DASHBOARD

Revenue budget actual variance £000 ^[1]	Capital actual variance £000	Corporate Plan Performance	Management Agreement Performance
(27)	n/a	n/a	n/a

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements	Key Escalations	Actions required
New Governance processes for Committee papers and Delegated Powers reports published and governance leads launched.	Agenda planning for all the four new enabling boards, Delivery Board and the Commissioning Board to enable more effective forward planning for member decisions.	Change to Committee System requires Member approval in January 2014 as such a number of tasks need to be bought forward for action.
Raising the profile of the new Assurance Group Model through the Lunch and Learn sessions and also through risk assurance workshops.	There has been a number of audits delayed or lack of senior management buy in to the process, partly due to changes in management since the restructure.	Work needs to progress with Barnet Homes regarding tenancy fraud partnership work.
97% matching of the new individual registration dry run process.		Budget review for canvassing costs in respect of elections work.

2. BUSINESS PLANNING

2.1 How is the Delivery Unit achieving against its Business Plan

The Assurance Group is not a Delivery Unit but a group that is independent and objective from the rest of the organisation. All business plans for the group have been signed off by the Audit Committee and the Strategic Commissioning Board (SCB) for Internal Audit, Risk Management and CAFT. Governance and Elections have business plans that have been signed off internally and sent to all staff. The Group is currently reporting against all of its targets to SCB and the Audit Committee and have completed their quarterly reporting cycle. Work is progressing for more joined up work across delivery units and commissioning group for better forward planning to improve Member reporting and decision making.

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	561	561	562	1	Historical budget requires reprofiling across the Assurance Group. Overspend due to additional audits and maternity cover	0.2%
Governance	2,177	2,597	2,548	(49)		-1.9%
Internal Audit & CAFT	873	877	898	21		2.4%
Total	3,611	4,035	4,008	(27)		-0.7%

3.2 Capital

N/A

4.OVERVIEW OF DELIVERY UNIT

4.1 Managing the business

The Assurance Group is managing all aspects of the business well at quarter 1. Some issues remain in the system (SAP) for previous managers signing off all performance reviews on a timely basis affecting the Assurance Group performance, however the majority of this has resolved itself.

4.2 Change projects

Project	Outturn	Direction of Travel	Commentary
Change in Governance System	Amber	N/A	Project has been brought forward from original end date of June 2014 to January 2014. All tasks require re-profiling. Business Case approved by Constitution, Ethics and Probity Committee on the 8 th July 2013.

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:
Insert table here:

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

Risk Commentary for Delivery Unit:

The risk profile of the Assurance Group is monitored bi-weekly through senior management. There are no risks that require escalation to the Corporate Risk Register. All risks are being managed through controls in place for each specific risk.

The risks in relation to statutory deadlines is a long term risk and requires cultural change within the Delivery Units to ensure compliance and better forward planning to become a reality.

The new governance arrangements will be a medium term risks that requires review through-out the project life cycle.

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
<p>Risk of new governance arrangements not being fit for purpose by failing to reflect the needs and realities of the organisation.</p> <p>Cause: Failure to be clear about Council's governance objectives and the objectives of the project</p> <p>Consequence: A poorly designed system that results in decisions not being taken in a timely way nor reflecting good practice</p>	Major 4	Possible 3	Med High 12	<p>Effective project management to ensure new governance arrangements reflects new council structure and organisation.</p> <p>Members consulted and engaged throughout the review through Member Working Group.</p> <p>Constitution Ethics and Probity Committee to provide oversight of strategic direction</p>	Treat	Quarterly	Major 4	Unlikely 2	Med High 8
<p>Failure of Directorates to meet statutory deadlines; failure to obtain all late approvals for reports; non urgent, late reports circulated</p> <p>Cause: poor advanced planning and lack of understanding of Constitution, Governance system and statutory requirements</p> <p>Consequence: Decisions cannot lawfully be taken without the requisite notice.</p>	Major 4	Possible 3	Med High 12	<p>Publication of agenda/report deadlines and clear process guidance on intranet</p> <p>Forward planning documents to be instigated for all committees and published on modern.gov</p> <p>Governance Link officers in services and Governance Service team to proactively manage relationship to identify problems in advance and plan round them.</p>	Treat	Quarterly	Major 4	Unlikely 2	Med High 8