

AGS 2018/19 Action Plan Q2 update

The tables below outline a progress summary of the actions that have been captured as part of a formal 2018/19 Action Plan.

As at Quarter 2, 18 actions are on target and 2 actions are progressing with some minor issues. There are no actions failing to progress.

New Risk Management and Assurance monitoring procedures have been created and are due for implementation in Quarter 3.

The first team Risk and Assurance review meeting is due to take place at the beginning of Quarter 3.

Appendix 3(c) contains the initial risks identified by the City Deal team which form the current City Deal Risk Register.

These risks will be reviewed at the Risk and Assurance review meeting in Quarter 3.

Table 1

ASSURANCE LEVEL	Actions on Target	Actions progressing – some issues	Actions Failing to progress
STRONG	9	0	0
STRONG/MODERATE	4	2	0
MODERATE	4	0	0
MODERATE/LIMITED	1	0	0
LIMITED	0	0	0
TOTAL	18	2	0

Table 2

Appendix 3(a)

No.	Assurance Statement	2018-19	2019-20		Progress status
		Q4	Q1	Q2	
		Assurance Rating	Assurance Rating	Assurance Rating	
1	We have and effectively communicate codes of conduct to define standards of behaviour for members and staff, and we have policies for dealing with whistleblowing and conflicts of interest.	MODERATE	MODERATE	MODERATE	ON TARGET
2	We ensure: a) Compliance with relevant laws and regulations, b) Compliance with internal policies and procedures, and c) that expenditure is lawful.	MODERATE	MODERATE	MODERATE	ON TARGET
3	We are committed to openness and acting in the public interest.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	ON TARGET
4	We have established clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation.	MODERATE/LIMITED	MODERATE/LIMITED	MODERATE/LIMITED	ON TARGET
5	We have developed and communicated a vision, which specifies intended outcomes for citizens and service users, which is used as a basis for planning.	STRONG	STRONG	STRONG	ON TARGET
6	We have translated the vision into courses of action for our function, its partnerships and collaborations.	STRONG	STRONG	STRONG	ON TARGET
7	We have mechanisms in place to review the effectiveness of the decision-making framework, including delegation arrangements, decision-making in partnerships, information provided to decision makers and robustness of data quality.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	ON TARGET
8	We measure the performance of services and related projects and ensure that they are delivered in accordance with defined outcomes and that they represent the best use of resources and value for money.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	ON TARGET
9	We have defined and documented the roles and responsibilities of members and management, with clear protocols for effective communication in respect of the authority and partnership arrangements.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	PROGRESSING - SOME ISSUES
10	Our financial management arrangements conform to all relevant legislative and best practice requirements.	STRONG	STRONG	STRONG	ON TARGET
11	We have effective arrangements in place to discharge the monitoring officer function.	STRONG	STRONG	STRONG	ON TARGET
12	We have effective arrangements in place to discharge the head of paid service function.	STRONG	STRONG	STRONG	ON TARGET
13	We provide relevant induction training and have mechanisms in place to identify the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training.	MODERATE	MODERATE	MODERATE	ON TARGET
14	We have mechanisms to review the effectiveness of our framework for identifying and managing risks and performance and for demonstrating clear accountability.	MODERATE	MODERATE	MODERATE	ON TARGET
15	We ensure effective counter fraud and anti-corruption arrangements are developed and maintained.	STRONG	STRONG	STRONG	ON TARGET
16	We have an effective scrutiny function in place.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	ON TARGET
17	Our internal audit assurance arrangements conform to Public Sector Internal Audit standards and relevant best practice.	STRONG	STRONG	STRONG	ON TARGET
18	We have arrangements in place for the delivery of the core functions of an audit committee.	STRONG	STRONG	STRONG	ON TARGET
19	We provide timely support, information and responses to external auditors and properly consider audit findings and recommendations.	STRONG	STRONG	STRONG	ON TARGET
20	We incorporate good governance arrangements in our partnerships and other joint working arrangements.	STRONG/MODERATE	STRONG/MODERATE	STRONG/MODERATE	PROGRESSING - SOME ISSUES

Internal Audit Schedule 2017/18 to 2021/22

Subject	Audit Focus	Y1	Y2	Y3	Y4	Y5
		2017-18	2018-19	2019-20	2020-21	2021-22
Governance, transparency and effective decision-making	Governance Structures					
	Arrangements for business cases					
	Managing and reporting on projects	✓	✓	✓	✓	✓
	Performance reporting					
	Registers of Business Interests					
Financial Management	Review of SAP systems and controls					
	Budgetary control and monitoring		✓		✓	
	Security of Assets					
Payroll and Personnel	Review of pay and payroll costs			✓		
Commissioning and Procurement	Review of procurement arrangements and payment procedures	✓		✓		✓
	Tenders and Contracts					
Income collection and debt management	Review of income collection (incl. grant income)		✓		✓	
Best value/ value for money	Benefit realisation	✓	✓	✓	✓	✓
	Performance indicators and evaluation methodology					
Review of Joint Committee statement	Review statement for annual accounts	✓				

CCR City Deal Risk Register

Ref	Risk Title	Inherent Risk		Residual Risk	
		Risk Score	Priority	Risk Score	Priority
CDR1	Business Plan Delivery	B1	High	C2	Medium/ High
CDR2	Governance & Effective Decision Making	C2	Medium/ High	D2	Medium/ High
CDR3	City Deal Programme Scope & Funding	B1	High	C2	Medium/ High
CDR4	Financial Affordability	C2	Medium/ High	D2	Medium/ High
CDR5	Funding Terms & Conditions	C1	High	C2	Medium/ High
CDR6	Workforce	C3	Medium/Low	D3	Medium/Low
CDR7	Further Regional Working	D2	Medium/ High	D3	Medium/Low
CDR8	Specific Project Delivery	B2	High	C3	Medium/Low
CDR9	Brexit	B2	High	C2	Medium/ High