

AUDIT COMMITTEE – 20th July 2016

RISK MANAGEMENT ANNUAL REPORT 2015 / 16

Executive Summary:

Key Issues:

- I. The Risk Management Framework has been reviewed in 2016, and considered by the Audit Committee at their meeting dated 20th April 2016 (section 3.2);

- II. The Corporate Assurance Group (CAG) has subsumed the Risk Champion Group terms of reference and are now leading on the provision of assurance information that underpins the Annual Governance review (section 4.3 – 4.4);

- III. The Risk Management Section now leads on the provision of Insurance and Corporate Governance activities within the Council, and benefits from an annual workplan (section 5);

- IV. All risk registers (Operational and Strategic) have been revised during 2015 / 16 (section 6);

- V. The Councils Risk Profile has slightly increased, and will be mitigated by direct liaison between Executive Directors and the Risk and Governance Manager (section 7);

- VI. Options are being considered in 2016 / 17 in terms of a replacement, or an alternative to the current Risk Management database, Morgan Kai Insight (section 9.2); and,

- VII. The revised Annual Governance Review for 2014 / 15 was completed and the subsequent Annual Governance Statement was signed by the Leader and Chief Executive in 2015 (section 11.3).

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RISK MANAGEMENT ANNUAL REPORT 2015 / 16

1. Purpose of the Report

- 1.1 The purpose of this report is to summarise the activity in 2015 / 16 towards the achievement of the goals and objectives set out in the Council's Risk Management Policy, and to signpost further work to be undertaken in 2016 / 17.
- 1.2 This report seeks to provide suitable assurances that the significant risks to the achievement of corporate objectives have been identified and are being appropriately managed within the comprehensive Risk Management Framework.

2. Recommendations

2.1 It is recommended that the Audit Committee:

- I. Considers the Risk Management Annual Report, and the assurances provided, as part of its overall consideration of the Council's control framework for the purposes of the Annual Governance Statement;**
- II. Considers whether any aspect of this report requires a more detailed report at a subsequent meetings; and,**
- III. Continues to receive periodic reports during the year to monitor the progress in achieving the actions identified for 2016 / 17.**

3. Risk Management Framework

2015 / 16:

- 3.1 The revised Risk Management Framework was presented to the Audit Committee at their meeting dated 22nd April 2015. The revised Risk Management Framework was subsequently approved by Cabinet at their meeting dated 20th May 2015.

2016 / 17:

- 3.2 A review of the Risk Management Framework was undertaken in April 2016. A report to the Audit Committee, presented on 20th April 2016 confirmed that the Risk Management Framework remained fit for purpose, and no changes were identified as having to be made. This report was subsequently approved by Cabinet at their meeting dated 1st June 2016.
- 3.3 Within the Council's Vision and Values, the following outcome is considered essential is ensuring the Councils new operating model (the 'Future Council') is sustainable and robust:

'...being innovative and taking managed risks...'

(Source: Future Council Strategy 2014 – 2017)

- 3.4 The positioning of Risk Management as an enabler for change has been beneficial to the service, in terms of being perceived as a management tool that provides the opportunity to consider and understand the risks in doing something differently, and to provide assurances that positive outcomes can be realised by doing things in a different way.

4. Roles and Responsibilities

2015 / 16:

- 4.1 The Risk Champion Group did not meet during 2015 / 16, with the last meeting taking place on 12th March 2015. It was acknowledged at the last meeting that, as a result of Future Council activity, there were a number of 'vacancies' within various Directorates and Business Units relating the provision of a risk champion. This places the future of the risk champion meetings in some doubt, and this had been reflected in recent attendance.
- 4.2 Revised terms of reference for a refreshed Corporate Assurance Group (CAG) (which included the terms of reference of the original Risk Champions Group) were developed in 2015, with a series of presentations to Senior Management Team (SMT) and Barnsley Leadership Team (BLT). Draft terms of reference were circulated to BLT in October 2015.

2016 / 17:

- 4.3 The inaugural meeting of the CAG took place on 5th April 2016. As part of the first meeting, the terms of reference for the group were considered and approved. These are attached as Appendix One to this report.
- 4.4 Recent meetings of the CAG have focused on the provision of information regarding the Annual Governance Review, which underpins the production of the Council's Annual Governance Statement.

5. Risk Management Section

2015 / 16:

- 5.1 From 2015 /16, the Risk Management Section (RMS) now leads in the delivery of the Annual Governance Review, and the subsequent production of the Council's Annual Governance Statement, and the management of the associated Annual Governance Action Plan.
- 5.2 During 2015 / 16 the RMS has led in the provision of insurance queries and customer support, as well as insurance renewal activities, for the Council, and more recently South Yorkshire Fire and Rescue and South Yorkshire Pensions Authority.
- 5.3 The RMS benefited from a detailed workplan, detailing key activities for the year. This workplan was included as an appendix to previous update reports that have been presented to the Audit Committee. The majority of actions for 2015 / 16 were completed. Where appropriate, actions that were not completed have been carried over to the RMS workplan for 2016 / 17.

2016 / 17:

- 5.4 The RMS will be leading the forthcoming insurance tendering exercise for the Council, in September 2016.

5.5 As in previous years, the RMS benefits from a detailed workplan, attached as Appendix Two to this report.

6. Risk Management Process

Strategic Risk Register 2015 / 16:

6.1 A robust and dynamic Strategic Risk Register (SRR) sets the culture and tone for Risk Management across and throughout the Council. The engagement of SMT in the Risk Management process through the ownership and review of the SRR demonstrates a strong commitment to lead and champion Risk Management 'from the top' and to further reinforce the continuing development of a Risk Management culture.

6.2 The SRR was reviewed in February 2015, and considered by the Audit Committee at their meeting dated 22nd April 2015, and was subsequently approved by Cabinet at their meeting dated 20th May 2015. A further review took place in September 2015, and was considered by the Audit Committee at their meeting dated 20th January 2016, and was subsequently approved by Cabinet at their meeting dated 10th Feb 2016.

Strategic Risk Register 2016 / 17:

6.3 The SRR was reviewed in March 2016, and was considered by the Audit Committee at their meeting dated 20th April 2016, and was subsequently approved by Cabinet at their meeting dated 1st June 2016.

6.4 Key issues either logged on the SRR, or being considered as part of the forthcoming review of the SRR (programmed for September 2016) include:

- Emergency Planning and Business Continuity arrangements;
- Governance arrangements surrounding the emerging City Region Devolution Deal; and,
- Implications of 'Brexit' on Local Authorities.

6.5 As with previous reviews of the SRR, the outcomes of future reviews will be reported to, and considered by the Audit Committee.

Operational Risk Registers 2015 / 16:

6.6 The Operational Risk Registers (ORRs) relate to the key risks to the provision of Council services. During 2015 / 16 these risk registers were formally reviewed on a half yearly basis, to ensure risk remained relevant and that identified risk mitigation actions were being implemented. The risks contained within the ORRs are aligned to individual Business Unit Business Plans.

6.7 Following the completion of each review, there is an expectation that 'red' risks (in terms of the 'current' and 'target' risk assessments) are escalated to Business Unit Management Teams for further consideration.

Operational Risk Registers 2016 / 17:

6.8 The RMS will continue to ensure that ORRs are reviewed and updated on a half yearly basis.

6.9 The compliance against the requirements of the ORR review programme will be reported as part of the Annual Governance Review, programmed to take place in the summer of 2016. The compliance

with the ORR process is also included within the Risk Management Performance Indicators, detailed in section 11.7, and Appendix Three of this report.

Project Risk Management 2015 / 16:

- 6.10 During 2015 / 16, the Council continued to use the P2.net system to enable the recording and management of a significant number of risks, mainly relating to project and programme management activities.
- 6.11 Direct liaison with a number of significant projects by the RMS continued, and included:
- 'Better Barnsley' Programme;
 - Property Investment Fund / Speculative Developments;
 - Strategic Business Parks (including Junction 36 and 37 developments);
 - Cooper Gallery Extension; and,
 - Dearne Valley Landscape Partnership.

Project Risk Management 2016 / 17:

- 6.12 A detailed review of the Council's project and programme management requirements is being undertaken, led by the Corporate Projects and Programmes Manager within Business Unit 15 (Organisation and Workforce Improvement). Initial liaison between the Corporate Projects and Programmes Manager and the RMS was undertaken in May 2016. An initial timeline has been developed by the Corporate Projects and Programmes Manager, and a number of update meetings between the RMS and the Corporate Projects and Programmes Manager have been included within this programme to ensure the consideration of robust risk management and governance arrangements are included within this review.

Partnership Risk Management 2015 / 16:

- 6.13 Liaison with the following key partners during 2015 / 16 allowed for the sharing of risk information, which was analysed, and fed back to both the partnering organisation, and the lead officer within the Council, responsible for the specific partnership:
- Barnsley Norse;
 - Barnsley NPS;
 - Barnsley Premier Leisure; and,
 - Berneslai Homes.

- 6.14 Although not strictly a 'partnership', the RMS supports both the Barnsley Safeguarding Adults Board (SAB) and the Barnsley Children Safeguarding Board (BCSB) in their risk management arrangements.

Partnership Risk Management 2016 / 17:

- 6.15 It is envisaged that assurances will be sought from those partners detailed in section 6.13 during 2016 / 17, and the outcomes of any analysis undertaken by the RMS will be provided to the partnering organisation itself, as well as the lead officer within the Council, responsible for the specific partnership.
- 6.16 The issue of Partnership Governance was a key issue identified in the Annual Governance Review for 2014 / 15, and an emerging Partnership Governance Framework, developed by the RMS was presented to BLT in May 2016.

7. Risk Profile / Statistics

7.1 The corporate Risk Management software system, Morgan Kai Insight (MKI) allocates a Category Score to each risk, based upon a combination of likelihood and the highest scoring impact; Category One (red) being the most severe, and Category Six (green) being the least.

SRR and ORR Statistics:

7.2 A breakdown of SRR and ORR risks, by Category, as at 14th June 2016 is shown below:

Risk Category	June 2016		May 2015		May 2014		May 2013	
	No.	%	No.	%	No.	%	No.	%
1	51	16	28	9	67	18	85	17
2	59	18	49	16	71	19	139	27
3	62	19	55	18	55	15	61	12
4	82	25	77	25	81	22	100	19
5	68	21	93	31	99	26	126	24
6	2	1	2	1	3	1	2	1
Total	324	100	304	100	373	100	513	100
Average Risk Category Score	3.19		3.53		3.24		3.09	

7.3 The latest statistics demonstrate a slight increase in the overall risk profile for the Council for the current period (3.19) compared to the profile as at May 2015 (3.53). This is clearly attributable to the increase in red risks (34% as at June 2016) compared to 25% as at May 2015. It appears the majority of 'new' risks (20) will have been allocated a 'red' Category.

In order to ensure that risks are being assessed, and subsequently escalated, the Risk and Governance Manager will be attended Directorate Management Team meetings during 2016 / 17 to ensure that red risks are being escalated, and consideration as to the assessment and risk mitigation actions is being given by the appropriate Executive Director.

The average Risk Category score metric details the average score for all risks of relevance logged in MKI for the period in question. The principle behind this metric is to identify and manage any trend in terms of the overall Risk Category score becoming more 'acceptable'. The closer this metric aligns to Category Six (being the most acceptable Risk Category score possible in MKI) the more assured the Council can be in ensuring risks are being managed down to acceptable levels.

Project and Partnership Statistics:

7.4 A breakdown of Project and Partnership risks, by Category, as at 14th June 2016 is shown below:

Risk Category	June 2016		May 2015		May 2014		May 2013	
	No.	%	No.	%	No.	%	No.	%
1	4	2	11	5	6	5	18	17
2	28	12	32	16	22	18	17	16
3	51	22	49	24	23	19	22	20
4	71	30	53	26	36	29	21	19
5	81	33	57	28	35	28	28	26
6	1	1	1	1	1	1	2	2
Total	236	100	203	100	123	100	108	100
Average Risk Category Score	3.84		3.57		3.61		3.27	

7.5 Whilst the overall number of partnership and project risks has seen a slight increase compared to May 2015 (mainly attributable to new risks being logged in the 'Better Barnsley' risk register, and new risk registers relating to the Urbact programme, being led by Business Unit 4 (Economic Regeneration)), there has been no detrimental impact on the Council's risk profile in this area.

8. Risk Acceptance, Escalation and Reporting

2015 / 16:

8.1 The Council's Risk Acceptance model was revised as part of the overall refresh of the Risk Management Framework in April 2015. This document is intended to provide assurances to owners of risk, that as the Council becomes more willing to consider, and exploit opportunities there is an increased likelihood the Council will, at times, have to accept a higher level of risk.

2016 / 17:

8.2 As detailed in section 3.2, the Risk Management Framework benefitted from a desktop review, which identified no significant improvement actions. As a result, the Risk Acceptance model remains in use during 2016 / 17.

9. Risk Recording / Morgan Kai Insight

2015 / 16:

9.1 The MKI user guide was reviewed in 2015 / 16, and a revised iteration released to users, which included a more detailed guidance note relating to the provision of reports from MKI. There have been no improvements or upgrades to the system during 2015 / 16.

2016 / 17:

9.2 The application and use of MKI was considered by Internal Audit when they conducted their annual review of the Council's Risk Management arrangements, and suggested that consideration is given to the future use of MKI regarding the recording of risks and risk mitigation actions within the Council. Options are currently being explored in terms of alternative methods of recording risks, and managing ORRs.

10. Guidance, Training and Facilitation

2015 / 16:

- 10.1 A number of direct training sessions detailed below have been facilitated and delivered by the RMS for both the Council, and other external customers. This face to face training is also complemented by online training packages, designed specifically for Elected Members, and officers. The RMS also benefits from an intranet site, which hosts a number of guidance documents and resources which is updated on a quarterly basis throughout the year.

2016 / 17:

- 10.2 A training session was recently delivered to colleagues within Business Unit 5 (Housing and Energy) relating to Project and Programme Risk Management.
- 10.3 It is envisaged that training requests from Services and Business Units will be received throughout 2016 / 17, and appropriate training offers will be developed to ensure that Council employees have the correct capabilities and skills to effectively manage risk.

11. Assurance and Performance Management

Integration with Other Processes 2015 / 16:

- 11.1 Details of all significant risks logged in MKI have been passed to the Internal Audit section to maximise opportunities to link Audit Planning with risk issues. This assists in ensuring that the annual Internal Audit plan is risk based, and focuses on the significant threats to effective service delivery.

Integration with Other Processes 2016 / 17:

- 11.2 To complement the above, regular meetings have now been programmed between the Risk and Governance Manager, and the Audit Manager which provides an ongoing opportunity to share information and assist each department in focusing their attention on significant risks and threats to the Council.

Annual Governance Review (AGR) / Annual Governance Statement (AGS) 2015 / 16:

- 11.3 Following the Annual Governance Review (AGR) in the summer of 2015, the RMS was able to produce the Council's statutory Annual Governance Statement (AGS), which was considered by the Audit Committee at their meeting dated 18th September 2015, and subsequently approved by Full Council at their meeting dated 24th September 2015.
- 11.4 The AGS benefitted from a detail improvement action plan, which the RMS has managed for the period. Updates from lead officers have been received on a regular basis, and an update to this Action Plan was presented to the Audit Committee at their meeting dated 20th January 2016.

Annual Governance Review (AGR) / Annual Governance Statement (AGS) 2016 / 17:

- 11.5 The RMS has initiated the AGR process, and has used the CAG to agree elements of the review, and embed these within Business Units. This AGR is expected to formally commence in June, with the outcomes of the AGR being considered in July to enable the production of the draft AGS for consideration by the Audit Committee, at their meeting programmed for 22nd July 2016.

- 11.6 The consideration of the AGS will also influence the developing Corporate Assurance Map, which is being developed by the RMS. This map has been designed to assist in identifying and addressing gaps in the Council's assurance arrangements, and also provide opportunities to streamline these arrangements. It is envisaged this will be subject of a further report to the Audit Committee later in 2016.

Performance Management 2015 / 16:

- 11.7 It is important that the success of the Risk Management Strategy can be measured, and in order to do so, a series of performance indicators for 2015 / 16 are attached as Appendix Three to this report.
- 11.8 The annual independent review of Risk Management arrangements in 2015 / 16 by Internal Audit was undertaken in September 2015. The results of this audit provided the RMS with an 'adequate' assurance opinion for the year.

Performance Management 2016 / 17:

- 11.9 Revised performance indicators for 2016 / 17 are to be developed to ensure that the Council's decision not to participate in the Association of Local Authority Risk Managers (ALARM) and CIPFA Benchmarking Club for Risk Management does not affect the ability to measure performance.
- 11.10 It is envisaged that Internal Audit will undertake their annual review of Risk Management arrangements later in 2016.

12. Risk Improvement Fund

2015 / 16:

- 12.1 The Risk Improvement Fund has been the victim of budget cuts, resulting in no fund now being available for risk improvement opportunities. However, prior to the budget being removed, the RMS led in the procurement of a forensic asset marking solution for Council buildings and assets. The procurement was completed in 2015 / 16, resulting in an annual saving of around £5K.

2016 / 17:

- 12.2 Although no formal risk improvement budget exists, the RMS was asked during 2016 / 17 to assist in the identification of alternative funding streams to assist in ensuring the Parks Service were able to fund a significant amount of repairs to parks and play equipment across the Borough. The RMS was successful in developing a brief business case which allowed for a proportion of this funding to be released from the Insurance Fund to cover an element of these costs, on a 'spend to invest' basis.

13. Culture

- 13.1 The prime objective of the Risk Management Policy is to facilitate the management of risks (and benefits and opportunities arising) in accordance with best practice, through a culture where responsible, informed and controlled risk taking is encouraged. In order to achieve this objective, the activities detailed in the RMS workplan for 2015 / 16 and 2016 / 17 specifically identify activities that will assist in building and improving the Council's own Risk Management culture.

14. Risk Management Considerations

- 14.1 Clearly the most significant and obvious risk to the Council is failing to embrace Risk Management as a vehicle to help process and deliver objectives in a cost effective and efficient manner. Adopting and constantly improving the Risk Management arrangements for the Council is a clear mitigation against this corporate risk.
- 14.2 The Financial Services Business Unit (Business Unit 13) benefits from its own risk register, and this assists in the delivery of the RMS workplan.

15. Financial Implications

- 15.1 Whilst there are no direct financial implications arising from this report, the impact of Risk Management should be recognised as a major contributor to achieving value for money and demonstrating the efficient use of resources.

16. Employee Implications

- 16.1 Whilst there are no direct employee implications arising from this report, the Risk Management process relies entirely on all employees having a good awareness of their responsibilities for Risk Management and for those employees specifically tasked with Risk Management functions, it is essential that they are trained and supported to fulfil that role.

17. Appendices

Appendix One: Corporate Assurance Group Terms of Reference
Appendix Two: RMS Workplan 2016 /17
Appendix Three: 2015 / 16 Performance Indicators

18. Background Information

Previous Audit Committee Reports
Risk Management Framework
MKInsight – Risk Registers
Training Records and feedback

Contact Officer: Risk and Governance Manager
Telephone: 01226 77 3119
Date: 6th July 2016

Corporate Assurance Group 2016 Terms of Reference

Governance and Assurance:

To provide oversight regarding the development, implementation and maintenance of the Council's corporate governance and control framework, by providing:

- A consultative role in respect of changes to the Council's corporate governance and control framework, including contributing towards the development of the Councils Corporate Assurance Framework
- A consultative role regarding the Annual Governance Review (AGR) process, including contributing towards the development of the AGR

For members of the group to act as governance and assurance 'champions' to ensure high levels of awareness and compliance

To examine other opportunities to adopt a strategic challenge and assurance role for other specific areas of the Council's corporate governance that requires improvement through the Annual Governance Review Action Plan

To assist in the management of the Annual Governance Review Action Plan, and to assist in the identification and development of improvements and efficiencies as to how the Council is governed

Risk Management:

To provide a strategic challenge as to the Council's Risk Management arrangements, including consideration of, and input into the periodic review of the Council's Strategic Risk Register (SRR)

Assist in the implementation and delivery of the Councils Risk Management Policy, Strategy and Framework by:

- Encouraging and participating in the identification, development and communication of new and emerging risks, ensuring they are considered, discussed and where appropriate logged and included in risk registers
- Encouraging, facilitating and contributing towards the review of operational risk registers (ORR) in accordance with the ORR review timeline
- Supporting the development and review of project and partnership risk registers

Contribute towards the development of a culture where innovation and managed risk taking is encouraged within the overall tolerances and boundaries in which the Council operates, by:

- Ensuring significant risks are appropriately escalated and communicated
- Being a champion for, and encouraging the use and development of the corporate risk management database, Morgan Kai Insight (MKI)

Ensuring risk management good practice is disseminated throughout the Council, by:

- Providing a conduit for risk management issues to be cascaded to all areas of the Council
- Act as a resource to assist, support and develop good risk management practices

Appendix Two: RMS Workplan 2016 /17

Objective	Action	Date for Completion	Status	Notes
Develop, implement and improve the Risk Management Framework	Review of Strategy	11/04/2016	Closed	All documents reviewed – no changes required; Report to AC 20/04/2016;
	Review of Policy Objective Statement			
	Review of Acceptance Model and Appetite Statement			
	Review of Risk Champion Role			
	Review of Risk Challenge Process			
	Review of Project Protocol			
	Review of Cabinet Writing Guidance			
	Review of Risk Training Strategy			
Provision of assurance in relation to Corporate Governance and Internal Control responsibilities	RM Framework Report to AC	11/04/2016	Closed	All documents reviewed – no changes required; Report to AC 20/04/2016;
	RM Framework Report to Cabinet	11/04/2016	Closed	All documents reviewed – no changes required; Report to Cabinet 01/06/2016;
	RM Annual Report to AC	20/07/2016	Open	Draft report prepared; Being considered by HoTS and SD BU13;
	RM Update Report to AC	30/09/2016	Open	
	AGR Review and Local CoCG to AC	20/04/2016	Closed	AGR Review and Local CoCG report to AC 20/04/2016;
	AGS Draft to SMT	15/07/2016	Open	
	AGS Draft to AC	30/07/2016	Open	
	AGS Final to AC	30/08/2016	Open	
	AGS Final to Full Council	30/09/2016	Open	
	AGS Action Plan Update to AC	31/12/2016	Open	
	AGS Action Plan Update to AC	31/03/2017	Open	
	SRR Review (October 2016) Report to SMT	31/10/2016	Open	
	SRR Review (October 2016) Report to AC	15/11/2016	Open	
	SRR Review (October 2016) Report to Cabinet	30/11/2016	Open	
	SRR Review (March 2017) Report to SMT	31/03/2016	Open	
SRR Review (March 2017) Report to AC	15/04/2016	Open		
SRR Review (March 2017) Report to Cabinet	30/04/2016	Open		
Integration of Risk Management into corporate business processes	ORR Q1	31/03/2016	Closed	Opened via email 07/04/2016;
	QA ORR Q1	30/06/2016	Open	
	ORR Q2	01/07/2016	Open	
	QA ORR Q2	30/09/2016	Open	

Objective	Action	Date for Completion	Status	Notes
	ORR Q3	01/10/2016	Open	
	QA ORR Q3	31/12/2016	Open	
	ORR Q4	01/01/2017	Open	
	QA ORR Q4	31/03/2017	Open	
	SRR Review (October 2016)	01/10/2016	Open	
	SRR Review (March 2017)	01/03/2017	Open	
	Provision of information to feed Audit Planning	31/12/2016	Open	
	Analysis of Internal Audit reports	31/03/2017	Open	<ul style="list-style-type: none"> ▪ Finance – Income System 2015 / 16 Audit Report (07/06/2016); ▪ Finance – SAP User Access Internal Audit Report (09/06/2016); ▪ Information Services – Data [Protection, Freedom of Information Regulations Data Requests Internal Audit Report (09/06/2016);
Support and encourage Risk Management activity throughout the Council, and its partners	Review of Berneslai Homes risk management arrangements	30/09/2016	Open	
	Review of Barnsley Premier Leisure risk management arrangements	30/09/2016	Open	
	Review of Norfolk Property Services risk management arrangements	30/09/2016	Open	
	Review of Barnsley Norse risk management arrangements	30/09/2016	Open	
Development and delivery of training schemes to raise awareness of risk management and to develop competencies	Development of training offer for BMBC officers	31/03/2017	Open	Housing and Energy Risk Management Projects – 08/06/2016;
	Delivery of training for BMBC officers	31/03/2017	Open	Housing and Energy Risk Management Projects – 08/06/2016;
	Development of training offer for Members	31/03/2017	Open	
	Delivery of training for Members	31/03/2017	Open	
	Development of training for external customers	31/03/2017	Open	
	Delivery of training for external customers	31/03/2017	Open	
	Development of E-Learning material	31/03/2017	Open	
	Intranet Update – June 2016	30/06/2016	Open	
	Intranet Update – September 2016	30/09/2016	Open	
	Intranet Update – December 2016	31/12/2016	Open	
Intranet Update – March 2017	31/03/2017	Open		
Delivery of a proportionate Corporate Governance	Corporate Assurance Group Meeting – April 2016	05/04/2016	Open	Meeting held 05/04/2016 – minutes released 07/04/2016;

Objective	Action	Date for Completion	Status	Notes
framework for the Council	Corporate Assurance Group Meeting – May 2016	26/05/2016	Open	Meeting held 26/05/2016 – minutes released 15/06/2016;
	Corporate Assurance Group Meeting – August 2016	31/08/2016	Open	
	Corporate Assurance Group Meeting – September 2016	30/09/2016	Open	
	Development of Part One: All IA Recommendations	30/06/2016	Open	Received from IA – awaiting final elements of Part Three;
	Development of Part Two: Themed IA Recommendations	30/06/2016	Open	Received from IA – awaiting final elements of Part Three;
	Development of Part Three: Other Areas of Assurance	30/06/2016	Open	Awaiting final elements of Part Three;
	AGR emails to SD's / ED's	30/06/2016	Open	
	Development of AGS Action Plan	30/07/2016	Open	
	Development of AGS (draft)	30/07/2016	Open	
	Approval of AGS (final)	30/09/2016	Open	
Development of Corporate Assurance Map	30/09/2016	Open		

Appendix Three: 2016 / 17 Performance Indicators

Indicator	Quarter One (01/04/2015 – 30/06/2015)	Quarter Two (01/07/2015 – 30/09/2015)	Quarter Three (01/10/2015 – 31/12/2015)	Quarter Four (01/01/2016 – 31/03/2016)
Process:				
% of Business Units completing Operational Risk Register Reviews on time	82%	89%	82%	78%
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Leadership and Management	2015 / 16: Assessed Level: '5 – Driving' (Actual Score 85: +1.8% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Policy and Strategy	2015 / 16: Assessed Level: '5: – Driving' (Actual Score 91: +9.2% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to People	2015 / 16: Assessed Level: '4 – Embedded and Integrated' (Actual Score 79: +2.3% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Partnerships and Resources	2015 / 16: Assessed Level: '3 – Working' (Actual Score 64: -5.8% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Processes	2015 / 16: Assessed Level: '4 – Embedded and Integrated' (Actual Score 79: -2.4% deviance on national average)			
Changes to Risk Profile:				
Deviance from Average Risk Category Score	2014 / 15: Average Risk Score: 3.53	2015 / 16: Average Risk Score: 3.19	Direction of Travel ↓	
Outcomes:				
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Risk Handling	2015 / 16: Assessed Level: '3 – Working' (Actual Score 68: -6.5% deviance on national average)			
Maintenance / improvement of ALARM / CIPFA Benchmarking scores relating to Outcomes and Delivery	2015 / 16: Assessed Level: '4 – Embedded and Integrated' (Actual Score 71: +2.9 deviance on national average)			