Business Assurance Structure Update

Audit and Governance Committee

November 2022

Introduction

- The Business Assurance Team (risk management, audit, fraud and insurance) was subject to a service review between Q3 21/22 and Q2 22/23.

- The Audit and Governance Committee requested that an update on the outcome of the service review be presented for information and to provide assurance that the team is adequately resourced to provide the appropriate levels of assurance to those charged with governance.

Ambitions & drivers for change

- Ensuring all processes, procedures, and policies align to provide effective services that can meet the increased demand of the unitary council.

- Ensuring that temporary measures and the interim structure are reviewed and replaced with permanent, fit for purpose solutions.

The Business Assurance Team vision is be a cohesive forward-thinking multi-strength team with a real focus on the needs of the service to ensure the best quality customer experience is delivered.

To create a risk based strategic assurance plan that dynamically identifies and supports in the response and management of risks being faced by the council. The Insurance service will be accountable and responsive through the provision of policies and advice with the aim of demonstrating best practice in everything that they deliver.

Summary of findings

The results and recommendations from the external reviews carried out by PWC and CIPFA, together with the findings from workshops and discovery work carried out as part of the service review has resulted in the following overall findings:

Insurance

- Development of Insurance Strategy is required

- Succession plan is critical to bring in trainee level officers

Internal audit & assurance

- Continues to integrate combined assurance model based on 'three lines of defence'

- Increase resource to reduce the current over-reliance on senior managers

- Reducing the number of audit days purchased from outsourced provider

Counter Fraud

- Increase the size of the team so that it is sufficient to manage the risks of fraud and corruption

Risk Management & Business Continuity Management (BCM)

- Risk framework is sound but increased resource is required to enhance the Council's risk management maturity

- Focus on embedding effective and simplified BCM arrangements

- Aligning the BCM function with risk management

Creating a fit for purpose Business Assurance Team structure

The business case proposed to:

- Realign the management capacity across the various functions

- Expand teams to provide the appropriate level of resource to deliver the service

- Provide greater career progression and encourage "grown your own" talent by introducing trainee and apprenticeship roles.

- Clearly defining roles and responsibilities

- Supporting the stabilisation of the service

Business Assurance Structure (1 November 2022)

Head of Business Assurance
- Business Assurance Manager
  - Apprentice Officer
- Insurance Claims Manager
  - Senior Claims Handler
  - Claims Handler
  - Claims Handler
  - Insurance Claims Assistant
- Insurance Policy Manager
  - Insurance Lead Officer
  - Business Support Officer
- Risk & Business Continuity Manager
  - Risk Lead
  - Business Continuity Lead
- Audit, Assurance and Fraud Manager
  - Counter Fraud and Investigations Lead
    - Counter Fraud Officer
  - Counter Fraud and Investigations Lead
    - Counter Fraud Officer
  - Counter Fraud Intelligence Lead
  - Assurance Lead
  - Audit Lead
    - Senior Auditor
    - Audit Trainee

Posts highlighted in orange are currently vacant and subject to a recruitment campaign.

BUCKINGHAMSHIRE COUNCIL