

AGENDA ITEM 3.3

MANAGEMENT ASSURANCE RETURN PROGRESS 2016-17
RATINGS ARE 2016-17 DEFINITIONS

ASSURANCE AREA	FINAL POSITION 2015-16	Q1 2016-17	Q2 2016-17	SUMMARY	
DELEGATED AUTHORITY	MODERATE	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
ACCESS TO SYSTEMS	MODERATE	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
TREASURY AND CABINET OFFICE CONTROLS	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
EQUALITY DUTIES: OBLIGATIONS	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
EQUALITY DUTIES: DO NOT DISCRIMINATE	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
PROGRAMME AND PROJECT MANAGEMENT	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
RISK IDENTIFICATION AND MANAGEMENT	MODERATE	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
PROCUREMENT AND CONTRACT MANAGEMENT: PROCUREMENT	MODERATE	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
PROCUREMENT AND CONTRACT MANAGEMENT: CONTRACT MANAGEMENT	LIMITED	MODERATE	SUBSTANTIAL	IMPROVED	
BUSINESS CONTINUITY	MODERATE	MODERATE	MODERATE	STABLE	
BUDGET SETTING AND CORPORATE PLANS	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
INVESTMENT APPRAISAL	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
FINANCIAL CONTROLS	LIMITED	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
FINANCIAL PERFORMANCE MANAGEMENT	LIMITED	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
VAT	LOW	LOW	LOW	STABLE	
PAYING OUR SUPPLIERS AND STAFF - P2P	MODERATE	SUBSTANTIAL	SUBSTANTIAL	IMPROVED	
PAYING OUR SUPPLIERS AND STAFF - MANUAL PAYMENTS	LIMITED	LIMITED	LIMITED	STABLE	
PAYING OUR SUPPLIERS AND STAFF – GOVERNMENT PROCUREMENT CARD (GPC) PROCESS	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
SUCCESSION PLANNING	MODERATE	MODERATE	MODERATE	STABLE	
OUR PEOPLE	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
HEALTH AND SAFETY	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
OPERATIONAL HEALTH AND SAFETY	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
PROPRIETY	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
FRAUD AND BRIBERY	MODERATE	MODERATE	MODERATE	STABLE	
INFORMATION SECURITY	MODERATE	MODERATE	MODERATE	STABLE	
PERSONNEL AND PHYSICAL SECURITY	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
ASSURANCE	SUBSTANTIAL	SUBSTANTIAL	SUBSTANTIAL	STABLE	
RECOMMENDATIONS					
SUBSTANTIAL	13	20	21	IMPROVED	8
MODERATE	9	5	4	STABLE	19
LIMITED	4	1	1	STABLE BUT LOW RATING	2
Low	1	1	1	FALLEN	0