



NORTHAMPTON
BOROUGH COUNCIL

Governance Report to Audit Committee

26 November 2018

CONTRIBUTION LIST

Service Area:	Responsible:
LGSS Contract Management Risk/policies/emergency planning/AOB Internal Controls GDPR H & S	Stuart McGregor Jo Bonham Karen Middleton David Taylor Julian Bissaker

1. LGSS Contract Management:

As of 3rd September contract management for LGSS services fell under the remit of the Chief Finance Officer service area. Review meetings have taken place during October and November and additional scrutiny has been introduced with regards to the performance and delivery of services.

On 7th November 2018, the CFO met with LGSS acting Director of Finance and Head of Customer Engagement to discuss the current year extension and possible future extension (to unitary). There is agreement from both organisations to review and refresh performance information to make it more relevant and provide assurance to both that what is being commissioned/purchased is being delivered and to the required standard.

2. Risk registers:

1. Corporate risk register – Appendix 1.

Q1 Presented to Cabinet 17th October, 2018. Last updated Q2 30th September. Next update due Q3 31st December due to go to Cabinet 6th February 2019.

2. Service area risk registers updated November 2018:

- Communications
- Planning (to include Land Charges)
- Regeneration (to include markets/town centre and car parks/facilities management)
- Housing & Wellbeing

3. Service area risk registers to be updated by the end of January 2019:

- Borough Secretary
- Chief Finance Officer
- Customer and Communities

3. Policies update:

A master policy document is maintained by the Governance Support Officer who is responsible for ensuring any new policies and procedures are standardised using a corporate template with version control and naming protocol to keep track.

All policies should be reviewed and where necessary updated on an annual basis. The current status of the policies is recorded on the data master sheet and service areas are prompted to conduct annual reviews.

4. Emergency Planning:

Additional Gold and Silver positions have been identified and training for those volunteers will be completed by January 2019 so they can be included on the duty rota.

Training on Resilience Direct will be completed by the end of January 2019.

Reception centres have been identified and will be undergoing risk assessments during December.

Business continuity plans will also be updated during December to ensure contact details and centres are still relevant and that critical services are covered in an emergency.

Non-critical service areas will be documented in January 2019.

5. Internal Controls:

1. Internal control reviews completed – Appendix 2.

- Temporary Workers
- Asset Management Debt

Work is now ongoing with management to ensure that all actions are implemented.

2. Internal control reviews in progress:

- Corporate debt
- Management of the establishment list/structure chart

3. Internal control reviews planned:

- Parking income
- Market income

4. **Position statement on vacant posts and temporary workers – Appendix 3.**

At its meeting on the 14 March 2016, Audit Committee raised a request for further information on the current number of vacant positions and temporary workers engaged by the Council. This remains a high priority issue for the Council, with management board receiving a monthly update on the use of temporary workers and recruitment issues in general.

6. Health & Safety:

Audits							
Operational Team	RA's	Written Procedures	Document control	Comms	Accident procedure	Training	Compliant Score
Market	85	60	90	90	90	70	81%
Neighbourhood Wardens	80	80	90	100	90	80	87%
Park Rangers	70	80	90	100	90	70	83%
Customer Services	90	100	100	100	90	90	95%
One Stop Shop	90	100	100	100	90	90	95%
Carparks	80	90	80	100	90	90	88%
Abington Museum	80	80	90	100	100	90	90%
Call Care	80	100	100	100	100	80	93%

Recommended improvements

- Health & Safety Training
- Document Control
- Suitable & sufficient Risk Assessments

Planned H & S Audits & Inspections to March 2019

November

Planning

Northgate Bus Station (will include attendance by the Trade Union GMB)

December

General NBC Office safety inspections, this will cover all floors of the Guildhall and will include the Museum storage area on the mezzanine.

January

Private Sector Housing

Housing Options & Advice

Housing Strategy

February

Facilities

Assets

Regeneration projects

March

Community Safety & Engagement

Town Centre Operations

7. GDPR:

Suspected breaches notified to DPO April – September 2018:

Overall						Cause	Improvement			
Service	Total	Reportable Breaches	Non Reportable	Non Breaches	Investigation ongoing	Cause = Communications	Procedure improvement	Correct Data Set	Update contact details	Notes
Planning Regen	2	0	1	1	0	2	1	N/A	N/A	No breach (1 Case)
CTax & HB (LGSS)	3	0	3	0	0	3	0	1	2	Update contact data (2 cases) Correct data set (1 case)
CIr	1	0	0	1	0	1	0	0	0	No breach
Environmental Health	1	0	1	0	0	1	1	0	0	External contractor self-reported
Post Room	1	0	1	0	0	1	0	0	0	No breach
Housing Options	3	0	0	1	2	3	1	0	0	Investigation on going (2 Cases)
NNDR	1	0	0	1	0	1	0	0	0	No breach
Total	12	0	6	4	2	12	3	1	2	

8. AOB:

- **Performance management**

Q2 Report to Cabinet 12th December. A review of the way in which the measures are reported will be undertaken during December 18/January 19.

- **Licence to practice**

A complete review of the licence to practice will be undertaken with a view to identifying new training priorities going into Unitary.

- **Corporate plan/service plans**

Updated Corporate Plan published on the NBC website and intranet November 2018.

Service plans will be updated to be in line with the revised Corporate Plan and the budget for 2019/20 once approved. The performance measures for each of the service areas will also be reviewed and updated where necessary.

- **ICT Services**

Although not part of the Governance Team, the NBC ICT Manager is now co-located with the team and reports to the CFO. The ICT Governance meeting is now led by the ICT Manager with attendance/support by the Governance & Risk Manager.