

GOVERNANCE ACTION PLAN AS AT 31.05.17

No.	GOVERNANCE ACTION PLAN IMPROVEMENT AREA	REF:	ACTION	Action Priority	RESPONSIBLE OFFICER	DATE BY	IMPLEMENTATION STATUS	% COMPLETE	ON-TRACK RAG STATUS	RESPONSIBLE OFFICER UPDATE AS AT 31.05.17	REVIEW DATE
<b>A. RISK MANAGEMENT</b>											
1			• Risk Policy and Framework to be reviewed by Management Board	H	Governance & Risk Manager	26.04.17	Fully Implemented	100%	G	Submitted for MB approval at MB meeting 26.04.17	31.12.17
2			• Risk Policy (including risk appetite) to be reviewed by Audit Committee	H	Governance & Risk Manager	30.07.17	Partially Implemented	75%	G	Submitted for approval for AC meeting 15.05.17 but meeting cancelled and will be put to the next Committee meeting.	31.12.17
3			• Governance monitoring arrangements to be in place with updates taken to the Audit Committee	H	Governance & Risk Manager	30.06.17	Partially Implemented	50%	A	Regular updates of the LTP and GAP and performance on the annual audit plan in place. An outstanding area is indicated to be regular reporting of NBC performance to the AC on the implementation of audit recommendations by the due date. Similarly the extent of compliance with the 2016 CIPFA Solace Code of Governance remains outstanding.	31.12.17
4			• Refresh and cascade the risk management strategy and framework	H	Governance & Risk Manager	30.07.17	Partially Implemented	20%	A	Strategy currently being reviewed (review is in its early stages) and redrafted prior to cascading	31.12.17
5			• Schedule of risk related policies to be approved by Management Board	H	Governance & Risk Manager	30.07.17	Partially Implemented	10%	A	Update of the risk management strategy will bring together in one place/Framework all relevant and current policies, eg directorate responsibilities, the Risk Policy, risk escalation and Risk Appetite sub-documents	31.12.17
6			Generate a training plan for key officer and member groups to include • Management Team • Heads of Service • Project Managers • Members - Cabinet • Audit Committee members	H	Governance & Risk Manager	30.07.17	Partially Implemented	10%	A	Plan to be prepared in tandem with the update of the Risk Management strategy. Outline Training Plan preformat for officers being developed. Licence to Practice prioritises risk management training for early delivery in the Programme.	31.12.17
<b>B. REVIEW ALL CURRENT PROJECT PROCESSES</b>											
7			Post-implementation review of the operation and effectiveness of the Executive Programme Board since its establishment in late 2016	H	Director of Regeneration, Enterprise and Planning	30.07.17	Partially Implemented	TBC	TBC	It is indicated that this work is in it relatively early stages. Confirm further details at MB	31.12.17
8			• Name all high impact and high value projects	H	Borough Secretary	30.06.17	Partly Implemented	30%	G	This work is included as part the previous action and will be progressed in line with it.	31.12.17
9			Review and log all projects currently live and in the pipeline	H	Borough Secretary	30.06.17	Partly Implemented	30%	G	Enterprise Zone (EZ) aspects completed with assets and projects dimension remaining outstanding. This work will further build into the establishment of a projects universe spreadsheet to track all projects at the Council. This in turn will be used as monitoring/decision-support tool and also will feed into Director-led reporting to Members	31.12.17
10			• Name all high impact and high value projects	H	Borough Secretary	30.06.17	Partly Implemented	30%	G	This work is included as part the previous action and will be progressed in line with it.	31.12.17

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11			• Carry out an in-depth risk review of high value/high impact projects	H	Borough Secretary	30.06.17	Partly Implemented	25%	G	Gateway reviews now established for Vulcan, Del Apre, Greyfrairs and Museum & Art Gallery	31.12.17
12			• Specialist risk management training to become mandatory for all officers involved in projects. This to apply to current and future projects	H	Borough Secretary	30.07.17	Not Implemented	0%	G	Linking in with the governance and risk function we in projects will as part of this specialist training identify how we expect people to use risk as a tool in a project environment both on a project level and a day to day level dealing with assets. The objective of this training will be to create a risk-based and risk-led approach in project management	31.12.17
13			• Specialist training, workshops to be arranged and delivered with external and internal resources and in consultation with the Council's internal auditors	H	Borough Secretary	30.07.17	Not Implemented	0%	G	This will form part of the above action and be included in it. Suggest removing this action as a duplication of the above action	31.12.17
14			• Risk reporting to be reviewed ensuring that there is an effective cascade of risk through governance arrangements.	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	This will go live with the team at the MB presentation on 25.05.17. However it is to be noted that the extended period of stakeholder consultation required in this area, eg with Executive Programme Board (EPB), Cabinet, Scrutiny will extend full completion of the action to the end of Q4.	31.12.17
15			• Refreshed monitoring and tracking process ie project/service risks may also become a corporate risk	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	See above. This will be included as part of the above action	31.12.17
16			• Clarity on risk exception reporting process. Corporate, service and project risks are to be reviewed monthly.	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	See above. This will be included as part of the above action	31.12.17
17			• Establish and embed risk management surgeries	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	Included in the above action on specialist training. It is expected surgeries will be useful and come into effect 3-6 months after the training and the framework put in place for set within completion of the above action	31.12.17

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	<b>C. PROGRAMME &amp; PROJECT SUPPORT</b>	18	• Transfer to be completed on 1 January 2017	H	Borough Secretary	01/01/2017	Fully Implemented	100%	G	Transfer completed	31.12.17
		19	• Develop and Implement enhanced Corporate project and Programme Management Framework and arrangements. To include a Corporate Governance & Support Officer Programme Board; Northampton Alive Officer Programme Board and an Efficiency/MTFS Officer Programme Board.	H	Director of Regeneration, Enterprise and Planning	31.12.17	Partly Implemented	20%	G	Will be addressed as part of the project management framework at a corporate level and the present structure/configuration of Boards will also be considered.	31.12.17
		20	• Appoint a Governance and Risk Manager to improve relevant areas	H	Borough Secretary	31/03/2017	Fully Implemented	100%	G	Appointment effective from 27.03.17	31.12.17
		21	• Ensure all relevant projects to go through a gateway or similar process, including a) Categorise and apply rigorous but proportionate methodologies and documentation. b) Requirement for a Project Initiation Document (PID), minuted project/programme meetings and a full risk assessment c) Programmes/projects will be required to be maintained on central paper records with clear documented minutes of meetings and professional advice received.	H	Director of Regeneration, Enterprise and Planning	31.12.17	Partly-Implemented	20%	G	Will be addressed as part of the project management framework starting with the MB presentation on 25.05.17. We have already started gateway reviews on Vulcan, Del Apre, Greyfrairs and Museum & Art Gallery	31.12.17
		22	• The requirement for regularly reporting back to cabinet on significant projects is in place	H	Borough Secretary	TBC	TBC	TBC	TBC	Reporting position is that management board feed into the EPB on an exception basis. Regular reporting of significant projects should normally be to Management Board. Confirm at MB that this is the position	31.12.17
		23	• Each project/programme to require the completion of a declaration of interests form by each participant (member or officer or advisor)	H	Director of Regeneration, Enterprise and Planning	31.12.17	Partly-implemented	0%	G	From the end of May 2017 we will require this for all new projects going forward. However this action i feel would benefit from being further considered. I feel it is important to address this area via training and evidence of training and place the duty on participants to declare interests. A 100% "capture-all" approach could end up being overly-burdensome and bureaucratic and undermine the necessary dynamism of projects. I would suggest a review of this action before the next GAP reporting date.	31.12.17
		24	• Mandatory Training programme on project programmes and major projects competencies to be completed as part of the Licence to Practice Programme and to be written into staff contracts.	H	Governance & Risk Manager	31.12.17	Partially Implemented	50%	G	Major programme and programme management module included in LTP as a high-priority module. Mandatory training element not currently progressed.	31.12.17
		25	• Risk reporting to be reviewed ensuring that there is an effective cascade of information through governance arrangements	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	This will included as part of addressing the clarity on risk exception reporting processes.	31.12.17

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D. DUE DILLIGENCE (Incl. loans to 3rd parties)		26	• Develop and implement enhanced Corporate Project and Programme Management framework and arrangement. To include a Corporate Governance Support Officer Programme Board, Northampton Alive Officer Programme Board and an Efficiency MTFS Officer Programme Board	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	Will be addressed as part of the project management framework at a corporate level and the present structure/configuration of Boards will also be considered.	31.12.17
		27	• Establish a due diligence and compliance manual	H	Chief Financial Officer	31.12.17	Partly Implemented	50%	A	First stage (Loans Checklist) fully completed. Second stage (production of the Manual itself) is being progressed internally but the methodology/approach is not decided yet may need a discussion on whether there is a need for some external/consultancy support to complete the Manual.	31.12.17
E. INTERNAL AUDIT RECOMMENDATIONS		28	• Review all internal audit recommendations since June 2013	H	Finance & Strategic Business Partners	30.06.17	Fully Implemented	100%	G	Action completed	31.12.17
		29	• Assess delivery of all internal audit recommendations since June 2013 where not already delivered.	H	Finance & Strategic Business Partners	30.06.17	Partly-Implemented	75%	G	Relationship between IA and EA now better with both teams now sharing plans and progress. Key now is to put in place further continuation of these protocols to reach 100% implementation.	31.12.17
		30	• Improve internal audit reporting to Audit Committee	H	Chief Financial Officer	30.06.17	Fully Implemented	100%	G	Both the IA and EA internal audit teams have put in co-ordinated/joint reporting and also more in-depth reporting to the Audit Committee than before.	31.12.17
		31	Set and monitor client-side target in 2017/18 for the full 100% implementation of all agreed internal audit recommendations by the due date	H	Chief Financial Officer	30.09.17	Partly-Implemented	25%	G	Target to be established at the next Audit Committee as part of setting IA and EA plans for 17/18 with subsequent reporting of progress against target to be included as an Annex to the existing IA report in place	31.12.17
		32	•Report progress on delivery of internal audit recommendations to Management Board and Audit Committee	H	Chief Financial Officer	30.09.17	Partly-Implemented	0%	G	Will be incorporated as part of updates to the Audit Committee.	31.12.17
F. EFFECTIVE DECISIONS - CABINET CLEARANCE PROCESS		33	• Implement PwC audit recommendation tracking software (TrAction)	H	Chief Financial Officer	30.06.17	Fully-Implemented	100%	G	Action completed	31.12.17
			• Instigate regular reporting/monitoring to and by management board/audit committee {action merged with Audit Committee reporting above}	H	Chief Financial Officer	N/A	N/A	N/A	N/A	N/A	N/A
		34	• Revise and cascade changes to the Call Over process	H	Chief Executive	31.12.16	Fully Implemented	100%	G	Call over process reviewed. Two stage Call Over Process implemented with Management Board oversight of standards and content of reports. Deadlines published on the intranet to assist Officers.	31.12.17
		35	• Ensure that there is an evaluation period and process for the new arrangements on Call Over	H	Chief Executive	31.12.16	Fully Implemented	100%	G	Two stage Call Over Process implemented with Management Board oversight of standards and content of reports	31.12.17
		36	• Deliver training on standards requirements	H	Chief Executive	31.12.16	Fully Implemented	100%	G	Implemented	31.12.17

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		37	• Deliver training on Equality Impact Assessments	H	Leadership Support	30.10.17	Partially-Implemented	25%	G	Equalities training included/captured in the Licence to Practice Programme to be rolled out/completed during 17/18.	31.12.17
		38	• Provide better Cabinet clearance report guidance	H	Chief Executive	31.03.17	Fully Implemented	100%	G	Cabinet report writing guide published and implemented	31.12.17
		39	• Ensure there is the requirement for frontloading of full information at the Cabinet clearance stage in place	H	Chief Executive	Nov-17	Partially Implemented	70%	A	Every effort is being made to do this by Democratic Services so as to ensure these deadlines are met. It should be noted that elements of this action (cabinet report submission) is not entirely controllable by Democratic Services. This controllability issue maintains the RAG status at amber in this context.	31.12.17
		40	• Review process for formal clearance	H	Borough Secretary	31.03.17	Fully Implemented	100%	G	Action completed	31.12.17
		41	• Review and refresh clearance process	H	Borough Secretary	31.03.17	Fully Implemented	100%	G	Action completed	31.12.17
		42	• Ensure basic guidelines on Cabinet process are circulated	H	Borough Secretary	31.03.17	Fully Implemented	100%	G	Action completed	31.12.17
		43	• Ensure clearance subject to compliance with final council business case and appropriate business model	H	Borough Secretary & Chief Financial Officer	31.03.17	Fully Implemented	100%	G	Action completed	31.12.17
		44	• Reports to contain adequate and evidenced information to support decision needed	H	Borough Secretary & Chief Financial Officer	31.03.17	Fully Implemented	100%	G	Action completed	31.12.17
			•Relevant decisions to have mandatory and financial business models produced by the Council [now merged with business cases and appropriate models above]	H	Borough Secretary & Chief Financial Officer	N/A	N/A	N/A	N/A	N/A	N/A
		45	• Monitoring of Cabinet decisions, implementation and compliance, included delegated decisions. To include regular reporting to the leader and audit committee.	H	Borough Secretary	TBC	TBC	TBC	TBC	TBC	31.12.17
	<b>G. GOVERNANCE</b>	46	Delivery of the Licence to Practice Organisational Development and Training Plan to address key governance areas to improve governance skill-sets and capacity	H	Borough Secretary	31.12.17	Partly Implemented	20%	G	23 modules or courses identified. Course Schedule (Incl.learning objectives) completed for all modules. Module dates for the very high priority courses (5 modules) set and to be delivered before 31.07.17 and commissioning/procurement for these modules with providers now underway.	31.12.17
		47	Exception reporting (to MB, Audit Committee and the Governance and Support Officer Group GSOG ) to be in place across all key governance action plan areas, including the Plan itself and other key initiatives such as Licence to Practice, the implementation of agreed audit recommendations and review against compliance with CIPFA/SOLACE guidelines and also within the risk management framework in relation to the escalation of significant risks	H	Borough Secretary	30.06.17	Partly Implemented	50%	A	"On-Track" traffic light system in place on the Governance Action Plan for the implementation of the actions by the due date. Summary reports (to headline any exceptions) in place to MB and the Audit Committee. Summary report yet to be put in place for the GSOG and risk escalation to be addressed via the review of the risk management strategy	31.12.17

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		48	• Carry out fundamental review of all current NBC governance arrangements against the CIPFA/SOLACE 2016 standard. • full gap analysis and action plan to address any identified weaknesses • Update the local code with annual reporting against the code to Audit Committee	H	Governance & Risk Manager	30.06.17	Partially Implemented	40%	A	CIPFA/SOLACE self-assessment questionnaire devised according to best practice and meetings set with key officers to complete self-assessments. Officers completing self-assessments will be Borough Secretary, Sect 151 Officer, HR Business Partner, Director of E&C and Head of Housing & Wellbeing with final sign-off of the assessments by CE. Currently alongside the AGS this the key/highest priority governance work area.	31.12.17
		49	• External validation report of progress against the standard	H	Governance & Risk Manager	30.06.17	Partially Implemented	40%	A	Report to be extracted from results of self-assessment meetings above.	31.12.17
		50	SUGGESTED NEW ACTION Ensure there are adequate processes (incl. planning, engagement and best practice processes) in place in 17/18 to produce the Annual Governance Statement (AGS) in a timely manner	H	Governance & Risk Manager	30.03.18	Partially Implemented	10%	G	Lessons learned exercise in progress on the 16/17 AGS in conjunction with Finance to identify areas for potential improvement including processes and presentation	31.12.17
	H. FINANCIAL GOVERNANCE	51	• Communicate the importance of raising purchase orders with budget managers.	H	Chief Finance Officers	30.04.17	Fully Implemented	100%	G	Action completed	31.12.17
		52	• Enhance reporting of non-compliant purchase orders to Management Board, Directorate Management Teams and Service Management Teams by improving dashboard	H	Chief Finance Officers	31.10.16	Fully Implemented	100%	G	Action Completed	31.12.17
		53	• Write to suppliers to inform them they must request an order number for any NBC work	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Action Completed	31.12.17
		54	• Review system controls and implement improvements	H	Chief Finance Officers	31.10.16	Fully Implemented	100%	G	Action Completed	31.12.17
		55	• Review and improve reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Action Completed	31.12.17
		56	• Ensure there is improved compliance with the reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Reserve draw-downs now reported to Cabinet through the Financial Monitoring Report	31.12.17
		57	• Ensure there is improved reporting of the reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Reserve draw-downs now reported to Cabinet through the Financial Monitoring Report	31.12.17
		58	• Review the supplementary estimate process and improve compliance	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Action completed	31.12.17
		59	• Review virement process and improve compliance and reporting	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Action completed	31.12.17
		60	• Establish a gateway process for progressing capital programme schemes through each stage of their capital programme life	H	Chief Finance Officers	30.06.17	Partly Implemented	50%	G	Two stage process created. Development Board created Feb 17. Costs are challenged and verifies before the second stage. Second stage remains outstanding.	31.12.17
		61	• Mandatory Training covering all aspects of financial management is in place to raise financial awareness	H	Chief Finance Officers	30.09.17	Partly Implemented	75%	A	LTP course has been run but there is a further need to capture staff that did not or could not attend the first course so more work required.	31.12.17

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I. OTHER		62	• Effective Whistleblowing arrangements are in place	H	Borough Secretary	30.06.17	Partially Implemented	75%	G	Policy approved by standards Committee and Cabinet. To be approved at next Full Council meeting	31.12.17
		63	• All HR policies and procedures to be reviewed	H	HR Business Partner	31.05.17	Partially Implemented	61%	A	Of the 46 policies to be reviewed 28 reviews have been completed and the remaining 18 policy reviews should be drafted by 31.05.17. However it is to be noted that the processes of Management Board review and TU consultation/agreement to the policies could extend the overall deadline for full completion of this exercise to 30.09.17	31.12.17
		64	• Review Officer and Member Hospitality policy and guidance and publish guidance	H	Borough Secretary	30.09.17	Partially Implemented	20%	G	To be addressed as part of the Standards Committee workplan and scheduled for completion in September 2017 which will review the types of interests that Members and Officers are required to declare; the way such declarations are made and how they are monitored by the Standards Committee . Currently (May 2017) every Director and Hd. Of Service has updated and completed their register of interest form. All but one Member has returned the register of interest form and this declaration is currently being sought. The current guidance in place and prior to any review occurring has been published on the internet and will be imminently published on the NBC intranet.	31.12.17
		65	• Review Cabinet clearance process	H	Borough Secretary	31.05.17	Fully Implemented	100%	G	The new governance arrangements are working. Reports are considered by management board and Executive Programme Board at an early stage.	31.12.17
		66	• Identify risk from lack of compliance	H	Borough Secretary	31.05.17	Fully Implemented	100%	G	As above the new governance arrangements are in place and working in this area lowering any perceived risk	31.12.17
		67	• A Cabinet report writing guide is produced and is monitored for compliance	H	Chief Executive	31.03.17	Fully Implemented	100%	G	Cabinet report writing guide published and implemented	31.12.17
				H							