

**NORTHAMPTON BOROUGH COUNCIL**

**AUDIT COMMITTEE**

Your attendance is requested at a meeting to be held in The Guildhall on Monday, 16 November 2009 at 6:00 pm.

**D Kennedy**  
**Chief Executive**

**AGENDA**

1. APOLOGIES

Please contact Nicola Pepper on 01604 837356 or [npepper@northampton.gov.uk](mailto:npepper@northampton.gov.uk) when submitting apologies for absence.

2. MINUTES

3. DEPUTATIONS / PUBLIC ADDRESSES

4. DECLARATIONS OF INTEREST

5. MATTERS OF URGENCY WHICH BY REASON OF SPECIAL CIRCUMSTANCES THE CHAIR IS OF THE OPINION SHOULD BE CONSIDERED

6. RISK AND BUSINESS CONTINUITY UPDATES

Director of Finance and Support to Report

S. Morrell  
X 8420

7. HOUSING RENTS

Director of Housing to Report

C. Ansell  
X 8584

8. FUEL MANAGEMENT

Director of Environment and Culture to Report

S. Wade  
X 7464

9. INTERNAL AUDIT UPDATE

Internal Auditor to Report

C Dickens,  
Internal  
Auditor  
(PWC)

10. REVIEW OF OUTSTANDING INTERNAL AUDIT ACTIONS

Internal Auditor to Report

C Dickens,  
Internal  
Auditor  
(PWC)

11. EXTERNAL AUDIT UPDATE

External Auditor to Report

T. Croote  
Audit  
Commission

Appendices



**NORTHAMPTON**  
BOROUGH COUNCIL

Item No.

**6**

## AUDIT COMMITTEE REPORT

<b>Report Title</b>	<b>Risk Management Update</b>
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**AGENDA STATUS: PUBLIC**

<b>Meeting Date:</b>	16 <sup>th</sup> November 2009
<b>Directorate:</b>	Finance and Support
<b>Accountable Cabinet Member:</b>	Cllr David Perkins
<b>Ward(s)</b>	Not Applicable

### 1. Purpose

- 1.1 To provide an update on recent progress in Risk and Business Continuity Management across the authority.

### 2. Recommendations

- 2.1 To note recent progress in risk and business continuity management across the authority.
- 2.2 To note the Business Continuity Critical Functions.

### 3. Issues and Choices

#### 3.1 Report Background

- 3.1.1 Audit Committee requested an update on the developments within Risk and Business Continuity Management to be submitted to the next Committee meeting.

#### 3.2 Issues

- 3.2.1 Business Continuity Management focuses on those services that the Council cannot afford to lose, in terms of the impact on vulnerable residents, financial losses, reputational damage etc. These services are referred to as Critical Functions and once identified, the list of Critical Functions assists the Council in prioritising potentially limited resources in a major disruption or emergency.
- 3.2.2 A draft list of Business Continuity Critical Functions was presented to Audit Committee in February 2009 and to Management Board in May 2009. Management Board requested that the list be further refined and for each

Director to challenge and approve the Critical Functions identified within their Directorate.

3.2.3 The list attached to this report, appendix A, is the output from the Directorate Management Team challenges and is the final list approved by Management Board on 5<sup>th</sup> November 2009.

3.2.4 The list of critical functions is presented by service area and further categorised by the recovery time (how quickly a service or function must resume operations):

- 0 – 24 hours - Critical Function 1 (CF1)
- 1 – 3 days - Critical Function 2 (CF2)
- 3 – 7 days - Critical Function 3 (CF3)

### **3.3 Choices (Options)**

3.3.1 To suggest any additional areas to cover in future updates.

## **4. Implications (including financial implications)**

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### **4.1 Policy**

4.1.1 None.

### **4.2 Resources and Risk**

4.2.1 This report provides an update on the progress being made to ensure that risk and business continuity management arrangements are in place across the Council.

### **4.3 Legal**

4.3.1 There are no specific legal implications arising from this report.

### **4.4 Equality**

4.4.1 There are no specific equalities implications arising from this report.

### **4.5 Consultees (Internal and External)**

4.5.1 The Head of Finance & Assets has been asked to comment on this report.

### **4.6 How the Proposals deliver Priority Outcomes**

4.6.1 Providing an early warning system to alert Officers and Members to potential opportunities and threats.

4.6.2 Targeting resources at areas and issues of greatest risk where the Council's objectives are most under threat.

4.6.3 Reduction in interruptions to service delivery.

4.6.4 Continuity of critical Council activities.

4.6.5 Enabling the Council to act proactively, avoiding reactive management wherever possible.

4.6.6 Protecting and enhancing the reputation of Northampton Borough Council.

## **4.7 Other Implications**

4.7.1 Not applicable

## **5. Background Papers**

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5.1 Appendix A - Business Continuity Critical Functions.

**Sue Morrell, Risk and Business Continuity Manager, ext 8420.**

## **Appendix A – Business Continuity Critical Functions**

Description	Critical Function Category	Service Area	Head of Service
Corporate Property Maintenance - coordination and instruction of urgent repairs e.g. if Danes Camp was used as an evacuation centre and the heating failed or in non-emergency situation if the boilers at GH failed.	CF1	Asset Management	GC
Leisure Centres – Danes Camp, Lings Forum - to be used as 'reception centres' in the event of an emergency.	CF1	Culture and Leisure	IR
External communications - media	CF1	Communications	CB
External communications - partners	CF1	Communications	CB
Internal communications (Live News / All User email)	CF1	Communications	CB
Website / intranet home page updates	CF1	Communications	CB
Time sensitive Corporate marketing activities	CF1	Communications	CB
Switchboard	CF1	Customer Services	MG
Automated Call Distribution configuration	CF1	Customer Services	MG
Emergency Repairs Call Handling	CF1	Customer Services	MG
One Stop Shop or face to face access	CF2	Customer Services	MG
General Call Handling – Contact Centre (Housing, Streetscene, Revs and Bens)	CF2	Customer Services	MG
Emergency Management Team	CF1	Emergency Planning	TH
Payroll*	CF2	Finance	GC
Final accounts, budget and council tax	CF2	Finance	GC

Description	Critical Function Category	Service Area	Head of Service
Transactional banking	CF3	Finance	GC
Treasury Management	CF3	Finance	GC
S151 officer	CF3	Finance	GC
Key Holding Opening of buildings	CF1	Facilities Management	MG
Disarming of Intruder Alarm	CF1	Facilities Management	MG
Access/Entry System	CF1	Facilities Management	MG
Evacuations	CF1	Facilities Management	MG
Supply of meeting rooms & refreshments for emergency planning teams and provision of halls/meeting rooms in the event of evacuation to Guildhall.	CF1	Facilities Management	MG
Cleaning of Buildings – potentially harmful or infectious substances.	CF2	Facilities Management	MG
Mail Delivery and Collection	CF3	Facilities Management	MG
Provision management of temporary accommodation	CF1	Housing Needs and Support	FR
Social alarm for community	CF1	Housing Needs and Support	FR
Out of hours call – social services	CF1	Housing Needs and Support	FR
Daily visits – Level 3s	CF1	Housing Needs and Support	FR
Hospital discharge assessments	CF1	Housing Needs and Support	FR
Emergency response service –	CF1	Housing Needs	FR

coordinators		and Support	
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Description	Critical Function Category	Service Area	Head of Service
Gateway Assessments	CF2	Housing Needs and Support	FR
Homelessness Investigations	CF2	Housing Needs and Support	FR
Private sector housing - duty	CF2	Housing Needs and Support	FR
Daily visits – Level 2s	CF2	Housing Needs and Support	FR
Daily visits – Level 1s	CF2	Housing Needs and Support	FR
Installation of life line – hospital discharge	CF2	Housing Needs and Support	FR
Housing advice – telephone service	CF2	Housing Needs and Support	FR
Corporate Health and Safety	CF1	Human Resources	CW
Access to HR systems	CF1	Human Resources	CW
Data Network Infrastructure	CF1	ICT	MG
Voice Network Infrastructure	CF1	ICT	MG
Server and Storage Area Network Support	CF1	ICT	MG
Geographical Information Systems	CF2	ICT	MG
Operational Server Support / Environmental Control / Data Storage/ Security Backups	CF2	ICT	MG
I.C.T. Helpdesk	CF3	ICT	MG
PC Support	CF3	ICT	MG
Email and Internet Access	CF3	ICT	MG
Business Application Support	CF3	ICT	MG

<b>Description</b>	<b>Critical Function Category</b>	<b>Service Area</b>	<b>Head of Service</b>
Internet and Intranet Support	CF3	ICT	MG
Court and Tribunal attendance for planned and emergency hearings, and urgent service of Planning Enforcement Stop Notices.	CF1	Borough Solicitor	FF
Provision of general legal advice related to the event	CF1	Borough Solicitor	FF
Provision of Monitoring Officer advice in relation to the event	CF1	Borough Solicitor	FF
Elections*	CF1	Borough Solicitor	FF
Legal Administration supporting court etc attendance	CF3	Borough Solicitor	FF
Committee Administration	CF3	Borough Solicitor	FF
Emergency Repairs	CF1	Landlord Services	CA
Urgent Repairs	CF2	Landlord Services	CA
Burials	CF1	Neighbourhood Environmental Services	SW
Westbridge Gatehouse	CF1	Neighbourhood Environmental Services	SW
Fuel Supply for Council Vehicles	CF1	Neighbourhood Environmental Services	SW
Management of Waste Operations (Staff/Office)	CF2	Neighbourhood Environmental Services	SW



<b>Description</b>	<b>Critical Function Category</b>	<b>Service Area</b>	<b>Head of Service</b>
Weekly Collection Of Domestic Waste In Black Sacks	CF2	Neighbourhood Environmental Services	SW
Clinical Waste Collections	CF2	Neighbourhood Environmental Services	SW
Town Centre Cleansing	CF2	Neighbourhood Environmental Services	SW
Alternate Weekly Domestic Waste Collections In The Black Wheelie Bins	CF3	Neighbourhood Environmental Services	SW
Business Waste Collections	CF3	Neighbourhood Environmental Services	SW
Dangerous Structures	CF1	Planning	SB
Provisions of CCTV	CF1	Public Protection	SE
Emergency Prohibitions for Food Hygiene and H & S	CF1	Public Protection	SE
Immediate control measures of a serious infectious disease	CF1	Public Protection	SE
Immediate control measures of a serious incident where LA is enforcer	CF1	Public Protection	SE
General Public Health control measures	CF3	Public Protection	SE
Control measures of less serious infectious diseases	CF3	Public Protection	SE
Housing Benefit – rent allowances (Private tenants)	CF1	Revenues and Benefits	RB
Bus Station - Management	CF3	Town Centre Management	DS

Description	Critical Function Category	Service Area	Head of Service
Car Parking	CF3	Town Centre Management	DS
Markets	CF3	Town Centre Management	DS

\*Critical at particular time of month or year.

**Categories:**

- 0 – 24 hours - Critical Function 1 (CF1)
- 1 – 3 days - Critical Function 2 (CF2)
- 3 – 7 days - Critical Function 3 (CF3)
- 1 week – not a Critical Function (NCF)

## Item 10

### TEAMCENTRAL November 2009

Year	Number of recommendations made	Implemented / Closed	Outstanding
2008/09	284	175	109 (30 not yet due)
2009/10	22	13	9

The table below shows the position as at 12 November 2009.

Note:

- Only finalised reports are being tracked through TeamCentral

<b>Review and number of recommendations still pending as at 12 November 2009</b>	<b>High Risk &amp; Outstanding</b>	<b>Outstanding &amp; overdue</b>	<b>Not yet due</b>	<b>Imp. Awaiting verification</b>	<b>Closed</b>
Project : 08_09 NBC 01 - Cashiers (19)	-	-	-	-	19
Project : 08_09 NBC 02 - Freedom of Information & Data Protection (15)	1	9	-	6	-
Project : 08_09 NBC 03 – Expenses (11)	-	2	6	2	1
Project : 08_09 NBC 04 - Environmental Health (6)	-	1	-	5	-
Project : 08_09 NBC 05 - NNDR (6)	-	-	-	-	6
Project : 08_09 NBC 06 – Call Out Arrangements (10)	2	2	5	3	-
Project : 08_09 NBC 07 – Treasury Management (8)	-	-	-	8	-
Project : 08_09 NBC 08 - Housing Rents (14)	3	9	-	1	4
Project : 08_09 NBC 09 - Council Tax (6)	-	-	-	6	-
Project : 08_09 NBC 10 – Payroll (22)	3	3	7	11	1
Project : 08_09 NBC 11 - Car Parking Income (15)	1	3	-	11	1
Project : 08_09 NBC 12 - Fixed Assets (12)	-	5	1	1	5
Project : 08_09 NBC 13 - Creditors (16)	-	9	0	7	-
Project : 08_09 NBC 14 - Debtors (18)	1	2	-	12	4
Project : 08_09 NBC 15 - General Ledger (11)	-	1	-	8	2
Project : 08_09 NBC 16 - Budgetary Control (4)	-	1	1	2	-
Project : 08_09 NBC 17 - Fuel Management (11)	2	11	-	-	-
Project : 08_09 NBC 18 - Housing Management - Temporary Accommodation (11)	4	10	-	-	1
Project : 08_09 NBC 19 - Leisure Centre Income (17)	-	4	-	9	4
Project : 08_09 NBC 20 - Petty Cash (10)	1	1	7	2	-
Project : 08_09 NBC 21 - Concessionary Fares (6)	-	1	-	5	-
Project : 08_09 NBC 22 - VFM/Procurement (11)	-	4	1	6	-
Project : 08_09 NBC 23 - VAT (5)	-	1	-	4	-
Project : 08_09 NBC 24 – Agresso 5.5 Post Implementation Review (8)	1	-	2	5	1
Project : 08_09 NBC 24a – Housing Benefits (8)	-	-	-	8	-
Project : 08_09 NBC 25 – Regeneration and LDS (4)	-	-	-	2	2
Project : 09_10 NBC 01 - NNDR (10)	-	-	-	9	1
Project : 09_10 NBC 02 - Home Renovations and Disabled Facilities Grants (9)	1	9	-	-	-
Project : 09_10 NBC 03 - Health and Safety (3)	-	-	-	2	1

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