

OPEN ACTIONS AS AT 31.10.17

Process area	REF:	ACTION	Action Priority	RESPONSIBLE OFFICER	DATE BY	IMPLEMENTATION STATUS	% COMPLETE	Status	RESPONSIBLE OFFICER UPDATE AS AT 31.10.17	REVIEW DATE
A. RISK MANAGEMENT	1	• Risk Policy and Framework to be reviewed by Management Board	H	Governance & Risk Manager	31.08.17	Not Implemented	0%	Overdue	Second review by PWC received 25.10.17. Revised document due to be presented to Management Board 9th November (TBC).	31.12.17
	2	• Risk Management Strategy and Framework to be reviewed by Audit Committee.	H	Governance & Risk Manager	30.09.17	Partially Implemented	0%	Overdue	The revised risk policy is included as part of the refreshed risk management framework and the revised policy as a part of this exercise cannot be submitted to the Audit Committee until it is completed as per #1 above. To be presented to the next Audit Committee 15th January 2018.	31.12.17
	4	• Refresh and cascade the risk management strategy and framework	H	Governance & Risk Manager	31.08.17	Partially Implemented	50%	Overdue	Risk management framework re-written. Target to submit to management board 2nd week in November.	31.12.17
	5	• Schedule of risk related policies to be approved by Management Board	H	Governance & Risk Manager	31.08.17	Partially Implemented	50%	Overdue	As above - policies will be reviewed at MB.	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 Specialist risk management training to become mandatory for all officers involved in projects. This to apply to current and future projects. Specialist training, workshops to be arranged and delivered with external and internal resources and in consultation with the Council's internal auditors Establish and embed risk management surgeries.	H	Governance & Risk Manager	30.09.17	Partially Implemented	50%	Overdue	Proforma Training and Development form devised and to date the following have still to be interviewed: - Audit Committee (M.Markham, C.Chunga, L Marriott) - Chief Executive - Borough secretary PWC to facilitate risk management training. Governance team to embed themselves within DMT's to discuss, review and update risk registers on a monthly basis.	31.12.17

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B. REVIEW ALL CURRENT PROJECT PROCESSES	8	<p>Identify and log all projects currently live and in the pipeline. Perform reviews of each project for feasibility and governance assurance.</p> <p>Ensure all relevant projects to go through a gateway or similar process, including</p> <p>a) Categorise and apply rigorous but proportionate methodologies and documentation.</p> <p>b) Requirement for a Project Initiation Document (PID), minuted project/programme meetings and a full risk assessment</p> <p>c) Programmes/projects will be required to be maintained on central paper records with clear documented minutes of meetings and professional advice received.</p>	H	Borough Secretary	30.09.17	Partly Implemented	20%	Overdue	<p>A register will be produced and maintained centrally and reviewed by Management Board.</p> <p>The Northampton Alive Programme Register has been prioritised. The IT Programme Register is complete. Further work is required to prioritise the projects within housing. Further work is required to align each of the programme registers to ensure that they are corporately prioritised. The Register will identify the high impact and high value projects as at the register date. 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.</p> <p>Gateway reviews established for Vulcan, Delapre, Greyfairs and Northampton Museum & Art Gallery Expansion.</p> <p>Reviews commencing August 17th for Museum project.</p>	31.12.17
	9	<p>Risk reporting to be reviewed ensuring that there is an effective cascade and tracking of risk through governance arrangements</p> <p>Refreshed monitoring and tracking process ie project/service risks may also become a corporate risk</p> <p>Clarity on risk exception reporting process. Corporate, service and project risks are to be reviewed monthly.</p>	H	Borough Secretary	31.12.17	Partly Implemented	20%	On track	<p>This went 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.</p> <p>The management of risk will be defined within the corporate risk strategy and at a more detailed level within the Corporate Programme and Project Management Framework document. A key improvement to be made to current processes is the clear escalation of risks from one level to another (project up to programme up to corporate and the same for cascade downwards).</p> <p>Risk registers for each directorate to be reviewed at the Performance and Risk Management Board to ensure any corporate risks are escalated.</p>	31.12.17
C. PROGRAMME & PROJECT SUPPORT	11	<p>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.</p> <p>Include within the Framework the requirement for regularly reporting back to Cabinet on all projects is in place.</p>	H	Director of Regeneration, Enterprise and Planning	31.09.17	Not Implemented	0%	Overdue	<p>Programme Boards operational; Northampton Alive, Corporate Governance & Support Officer & Efficiency & MTFS Officer Board. Review of efficiency to be undertaken. Programme and Project management framework work will be developed and implemented at a corporate level and the present structure/configuration of Boards will also be considered.</p> <p>To be included within the Programme and Project Management Framework. 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.</p> <p>Corporate Project Management Framework policy and procedures created August 2017</p>	31.12.17

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	13	• Each project/programme to require the completion of a declaration of interests form by each participant (member or officer or advisor) and to be maintained as part of the project governance documentation	H	Borough Secretary	30.09.17	Not Implemented	0%	Overdue	Policy for Employees Code of Conduct includes the declaration of interest. Meeting with Legal set up on 29 June 2017 to look at potential revisions of the document and to develop a declarations of interest for non employees such as interim/consultants. A review of the current process will also be undertaken by legal. The output from this review will include a declaration of interest process for projects and programmes of work for both employees and interim positions. An employee declaration of interest register is currently maintained by democratic services To be included in the Corporate Project Management Framework documentation.	31.12.17
	14	• 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	Not Implemented	0%	On track	Major programme and programme management module included in LTP as a high-priority module. Mandatory training element will be progressed in line with roll-out of the LTP.	31.12.17
D. DUE DILLIGENCE (Incl. loans to 3rd parties)	15	• Establish a due diligence and compliance manual	H	Chief Financial Officer	31.12.17	Partly Implemented	50%	On track	1. First stage (Loans Checklist) fully completed (95%). 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 - Still to be completed.	31.12.17
F. EFFECTIVE DECISIONS - CABINET CLEARANCE PROCESS	22	• Deliver training on Equality Impact Assessments	H	Leadership Support	30.10.17	Partially-Implemented	25%	Overdue	Equalities training included/captured in the Licence to Practice Programme to be rolled out/completed during 17/18.	31.12.17
	30	• 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
	31	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/Interim HR Manager	31.12.17	Partly Implemented	20%	On track	Cathie Wright taken over training plan from August 2017. A review o the plan has identified areas where internal training can be facilitated and specialist areas for external consultants i.e due diligence, risk management & some elements of project management.	31.12.17

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	32	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	31.12.17	Partly Implemented	50%	On track	"On-Track" traffic light system in place on the Governance Action Plan for the implementation of the actions. Summary reports (to headline any exceptions) in place to MB, GSOG and the Audit Committee.	31.12.17
G. GOVERNANCE	33	<ul style="list-style-type: none"> Carry out a 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 <p>External validation report of progress against the standard</p>	H	Governance & Risk Manager	30.09.17	Partially Implemented	80%	Overdue	<p>An assessment has been carried out and the results are:</p> <p>Actions in place/partly in place = 84%</p> <p>Not in place = 16%</p> <p>Quite a number of actions relate to the update of policies and procedures.</p> <p>A full gap analysis will be presented at the January 2018 Audit Committee.</p>	31.12.17
	34	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	20%	On track	Lessons learned exercise in progress and on-going 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	45	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%	Overdue	Financial Management Training was undertaken in March, 2017 and 28 out of 34 (82%) of NBC Managers who were invited, attended. The "licence to practice" programme is under development and a further round of finance training will be undertaken March 2018. This will include not only those who were unable to attend in March, but also a refresh for those who were.	31.12.17
I. OTHER	47	All HR policies and procedures to be reviewed	H	HR Business Partner	30.09.17	Partially Implemented	95%	Overdue	Policies are now reviewed and going through the approval and assessment where necessary for EIA. After discussion with the HR Business Partner, the delay on this is due to the review panel. They are only able to meet once per week which results in only one or two policies being approved. This process is taking longer than estimated and it is being looked in to for another body to review the documents to get them uploaded on the internet/intranet asap.	31.12.17