APPENDIX 1
GOVERNANCE ACTION PLAN UPDATE - August 2017

Process area	REF:	Original action plan reference number:	ACTION	Action Priority	RESPONSIBLE OFFICER	DATE BY	IMPLEMENTATION STATUS	% COMPLETE	ON-TRACK RAG STATUS	RESPONSIBLE OFFICER UPDATE AS AT 31.08.17	REVIEW DATE
C. PROGRAMME & PROJECT SUPPORT	10	17	• Transfer of one permanent and one fix term project management staff under TUPE from LGSS back to NBC to be completed on 1 January 2017	H	Borough Secretary	01.01.17	Fully Implemented	100%	G	Transfer completed	31.01.17
	12	19	• Appoint a Governance and Risk Manager to improve relevant areas	H	Borough Secretary	31.03.17	Fully Implemented	100%	G	Appointment effective from 27.03.17 Interim from 27/3/17 Permanent recruitment as of 5/6/17	31.12.17
E. INTERNAL AUDIT RECOMMENDATIONS	16	26, 31	• Review all internal audit recommendations since June 2013 Implement PwC audit recommendation tracking software (TrAction)	H	Finance & Strategic Business Partners	30.06.17	Fully Implemented	100%	G	Action completed Recommendations closed on TrAction	31.12.17
	18	28	• 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
F. EFFECTIVE DECISIONS - CABINET CLEARANCE PROCESS	20	32, 33	• Revise and cascade changes to the Call Over process 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	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
	21	34	• Deliver training on Standards Committee requirements	H	Chief Executive	31.12.16	Fully Implemented	100%	G	Fully Implemented Training programme for 17/18 published following approval at the March 2017 Standards Committee meeting. Evidenced in the minutes for the Standards Committee and included in subsequent meeting agendas.	31.12.17
	23	36	• Provide better Cabinet clearance report guidance	H	Chief Executive	31.03.17	Fully Implemented	100%	G	Cabinet report guide for 17/18 published and implemented. Dates defined for cabinet reporting and the process to follow prior to the meetings for report clearance.	31.12.17
	25	38	• Review process for formal clearance	H	Borough Secretary	31.03.17	Fully Implemented	100%	G		31.12.17
	26	39	• Review and refresh clearance process	H	Borough Secretary	31.03.17	Fully Implemented	100%	G		31.12.17

	27	40	• Ensure basic guidelines on Cabinet process are circulated	H	Borough Secretary	31.03.17	Fully Implemented	100%	G			31.12.17
	28	41	• 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
	29	42	• Reports to contain adequate and evidenced information to support decision needed	H	Borough Secretary & Chief Financial Officer	31.03.17	Fully Implemented	100%	G	Templates are included on the Democratic Services intranet page to ensure report content is relevant.		31.12.17
	35	49	• Communicate the importance of raising purchase orders with budget managers.	H	Chief Finance Officers	30.04.17	Fully Implemented	100%	G	Financial Management Training was undertaken in March 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 as part of that. This will include not only those who were unable to attend in March, but also a refresh for those who were. PO's were included in the training presentation slides.		31.12.17
	36	50	• 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 Report obtained for Sept - Nov 2016 and June - August 2017. Monthly report produced for MB.		31.12.17
H. FINANCIAL GOVERNANCE	37	51	• 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	Copy of correspondence received. All suppliers listed on Agresso were sent the communication by post. Replies were not monitored.		31.12.17
	38	52	• Review system controls and implement improvements	H	Chief Finance Officers	31.10.16	Fully Implemented	100%	G	Last review by IA was in 16/17 by LGSS and PWC. KPMG have not performed any work around systems control.		31.12.17
	39	53	• Review and improve reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G	Finance have improved consistency of process, and therefore compliance, by introducing a single form for supplementary estimates/reserves/virement which includes guidance on process. The compulsory finance training undertaken in March included training on this process, and participants were tested on their understanding.

Supplementary Estimates and Reserve Drawdowns are reported to Management Board and Cabinet as part of the regular finance monitoring reports. | | 31.12.17 |
	40	54	• Ensure there is improved compliance with the reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G			31.12.17
	41	55	• Ensure there is improved reporting of the reserves drawdown process	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G			31.12.17
	42	56	• Review the supplementary estimate process and improve compliance	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G			31.12.17

	43	57	• Review virement process and improve compliance and reporting	H	Chief Finance Officers	31.12.16	Fully Implemented	100%	G		31.12.17
	44	58	• Establish a gateway process for progressing capital programme schemes through each stage of their capital programme life	H	Chief Finance Officers	30.06.17	Fully Implemented	100%	G	The action of establishing a gateway process is fully complete as the Development Pool (not Board) was established in February 2017 as part of the budget setting process. Projects will move from the Development Pool into the Approved Programme when costs have been fully quantified and a robust business case is developed and approved. The timing of this depends on the project, the fact that no projects have yet reached that stage however does not mean that the action is incomplete.	31.12.17
Deleted	63	• Review Cabinet clearance process	Duplicating no: 38 & 39								
Deleted	64	• Identify risk from lack of compliance	Duplicated								
Deleted	65	• A Cabinet report writing guide is produced and is monitored for compliance	Duplicating No: 36 & 67								
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