# Northampton Borough Council

| Year | Audit | Rec. No. | Recommendation | Priority | N/A or Low | Complete | Not Complete | Removed | NBC Responsible Officer | Original Due Date | Revised due date 1 | Revised due date 2 | Revised due date 3 | Revised due date 4 | Revised due date 5 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2018 -19 | 10. Procurement | 3.2 | 2. The Council should give procurement and contract refresher training for staff involved with high-value contracts | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 31-Aug-19 | 31-Oct-19 | 31-Jan-20 | 30-Apr-20 | |
| 2018 -19 | 2. Member Officer Protocol | 1.1 | When updating the Council's Member-Officer protocol, focus on providing clarity on those areas where the survey undertaken for this review suggests that aspirations set out in the current protocol do not match reality. | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 1.2 | Convene an Officer-Member working group to focus on areas where disparity between Member perception of current roles, and Officer perception of current roles differ most - i.e. those highlighted by the survey for this review. | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 1.3 | Run an organisation-wide training programme on the Protocol once it has been refreshed - cascading training down through political groups, Heads of Service and to CMT meetings run by Heads of Service. | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 29-Feb-20 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 1.4 | When updating the Council's Member-Officer Protocol, the Council should incorporate a description of a Member's role in the Member-Officer Protocol, building on the description currently set out in Article 2 of the Council's Constitution. | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 2.1 | When updating the Council's Member-Officer Protocol, draw on expectations of Members and Officers highlighted for this review, and undertake a wider engagement exercise of Members and Officers to determine expectations which are bespoke to the needs and views of the Council. | (orange) | | | ✓ | | Francis Fernandes | 31-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 2.2 | The updated Member-Officer Protocol should make recommendations more understandable by couching them in everyday examples. For example "Councillors should not walk the floors of the Council and instruct Officers to undertake certain tasks". | (orange) | | | ✓ | | Francis Fernandes | 01-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 2.3 | Hold a joint Member-Officer session focussed on understanding respective expectations of one another. This would focus on developing an improved culture to underpin the refreshed Member-Officer Protocol. | (orange) | | | ✓ | | Francis Fernandes | 01-May-19 | 29-Feb-20 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 3.1 | When updating the Member-Officer Protocol, the Council should introduce a clear process for complaints by Officers about the conduct of individual Members. Such a process exists in protocols held by other Councils which were reviewed as part of this audit. This process should set out who Officers can raise complaints with, provide an appeal route if they are not happy with how this complaint has been treated, and a method for logging complaints received. The updated Protocol should also state that Group Leaders have a responsibility for the behaviour of their Group Members towards Officers. | (orange) | | | ✓ | | Francis Fernandes | 01-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 4.2 | When holding training for Members on the Officer-Member Protocol, the importance of appropriate tone, and not influencing Officer reports, should be emphasised through a series of scenario-based exercises to reduce the likelihood that either element of the Protocol is unintentionally breached. | (orange) | | | ✓ | | Francis Fernandes | 01-May-19 | 29-Feb-20 | 30-Apr-20 | | | |
| 2018 -19 | 2. Member Officer Protocol | 6.2 | Update the Member-Officer Protocol to express that Members are entitled to receive a timely response to enquiries on behalf of ward residents, and agree with Members what this timescale might be. | (orange) | | | ✓ | | Francis Fernandes | 01-May-19 | 31-Dec-19 | 30-Apr-20 | | | |
| 2018 -19 | 5. Homelessness and Temporary Accommodation | 2.1 | All TA and prevention officers and managers should receive specialist training on conducting interviews with applicants that may be dealing with sensitive issues to ensure they are capably equipped to identify and support the TA application for vulnerable individuals. The attendance for this training should be documented and the material retained for staff to refer to at a later date. | (orange) | | | ✓ | | Vijay Sirohi | 31-Oct-19 | 29-Feb-20 | 30-Apr-20 | | | |
| 2018 -19 | 5. Homelessness and Temporary Accommodation | 3.1 | The Spend to Save Policy should be updated with limits on funds that can be granted/loaned to clients. Once updated, the Council should review the funds allocated to the Scheme and assess whether they are adequate | (orange) | | | ✓ | | Vijay Sirohi | 31-Oct-19 | 29-Feb-20 | 31-May-20 | | | |
| 2018 -19 | 7. People | 2.2 | The Council should complete the Workforce Monitoring Report for 2018/19 and report on website. | (red) | | | ✓ | | Jo Bonham | 30-Sep-19 | 31-Oct-19 | 29-Feb-20 | 31-Mar-20 | | |
| 2019-20 | 1. Planning & S106 | 1.2 | Additionally, the Council should review a selection of older schemes, i.e. where the Agreement was signed before 2010, and trace any evidence to support the spending of the S106 income, focussing on the highest value and/or highest risk schemes. All evidence of expenditure found should be retained in Civica. | (orange) | | | ✓ | | Peter Baguely | 30-Nov-19 | 31-Mar-20 | 31-May-20 | | | |

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| 2019-20 | Cyber | | 1.1 | Regular internal cyber security risks assessments are performed to identify cyber security threats. There is also a need to ensure alignment between IT risks identified by the Council on the Corporate Risk Register and those on the IT Risk register. The IT risk register may be further sub-divided into cyber security risks and other IT risks until the cyber security risk management becomes embedded. | 🟧 | | | ✓ | | Andrew Brightwell | 31-Dec-19 | 30-Apr-20 | | | |
| 2019-20 | Cyber | | 2.1 | A scheduled plan for major incident response scenario testing should be developed and approved by the Digitalisation, Cyber security and Data Protection Group. Regular comprehensive cyber security testing should be included in the plan. | 🟧 | | | ✓ | | Andrew Brightwell | 31-Dec-19 | 30-Apr-20 | | | |
| 2019-20 | Cyber | | 3.1 | Management should assess resource and time requirements for enabling authentication control for all wired access points to the corporate network. Progress should then be monitored internally by the Council's client manager. | 🟧 | | | ✓ | | Andrew Brightwell | 30-May-21 | | | | |
| 2019-20 | GDPR | | 1,1 | Management should agree a contractual addendum as part of the outsourced agreement held with LGSS for the provision of revenues and benefits. | 🟥 | | | ✓ | | David Taylor | 30-Nov-19 | 31-Mar-20 | | | |
| 2019-20 | Contract Management | | 1.1 | The Council should ensure that the PDA extension with LGSS is signed by both parties | 🟧 | | | ✓ | | Stuart McGregor | 30-Nov-19 | 31-Mar-20 | | | |