



NORTHAMPTON
BOROUGH COUNCIL

Governance Report to Audit Committee

23 March 2020 (refreshed for 23 June 2020)

CONTRIBUTION LIST

Service Area:	Responsible:
LGSS Contract Management Risk/policies/emergency planning/AOB Temporary workers GDPR H & S	Stuart McGregor Jo Bonham Karen Middleton David Taylor Julian Bissaker

1. LGSS Contract Management:

- LGSS Contract meetings ongoing
- Previous KPI's and management information improved through discussions between both parties
- Highlighted issues mainly within IT service delivery and HR Agresso issues and reporting
- Working relationship with LGSS very positive

2. Risk registers:

- Brexit risk register – ongoing live document.
- Corporate risk register – Q4 refresh completed as of 31 March 2020
- Corporate risk register – Q1 2020/2021 to be completed during July 2020

3. Emergency Planning:

- Business continuity plans to be finalised – Covid-19
- Duty rota updated to Unitary 2021
- Involvement with LGR unitary team to discuss how emergency planning will be delivered in the new world
- Task and finish group set up to deal with Covid-19 planning – plans are in place to deal with any potential issues
- Covid-19 FAQ's prepared and communicated to all staff
- SCG and TCG in place to deal with the Covid response

4. Temporary workers register

See appendix 3

5. Health & Safety:

Accident / Incident Statistics 2019/20													
	April	May	June	July	August	September	October	November	December	January	February	March	
Borough Secretary		1		1	0					1			3
Customers and Communities	3	2	1	1	5	7	7	3	4	5	4		42
Housing & Wellbeing	2			2	0		2		1	6			13
LGSS					0				1		1		2
Chief Finance Officer					0			1					1
Chief Executive					0								0
Planning	1			1	0	2		1			1		6
Economy, Assets & Culture	2		1	3	4	6		3	4	8	7	1	39
Grand Total	8	3	2	8	9	15	9	8	10	20	13	1	106

Type of Accident / Incident 2019/20													
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Total
Aggressive behaviour including verbal abuse	5	2	1	3	4	4	5	3	2	8	3		40
Dangerous occurrence								1	1	1			3
Exposed to fire or explosion													0
Exposed to, or in contact with hazardous substance					1					3		1	5
Fall from Height					2								2
Hit by a moving vehicle													0
Injured by an animal or insect													0
Injured while handling, lifting, and carrying	1					2							3
Medical condition				1		2	1	1			4		9
Near miss					1		1						2
Other									1	2			3
Physical assault						1	2						3
Property and plant damage as a result of an accident				1	1					1			3
Needle Stick Injury			1										1
Road traffic accident								2	1		1		4
Slip, trip and fall on the same level	2	1		2		2		1	3	4	3		18
Struck by moving, flying, falling parts or objects				1		1				1	2		5
Struck, caught, trapped by something fixed or stationery						3			2				5
Grand Total	8	3	2	8	9	15	9	8	10	20	13	1	106
Month on Month Difference from 2018/2019	-2	-8	-9	-2	-3	3	1	3	2	13	10	-6	2

6. GDPR:

1st April 2019 to 29 th February 2020											
Overall							Improvement				
Service	Total	Reportable Breaches	Non Reportable	Non Breaches	Deferred to another controller	Investigation ongoing	Procedure improvement	Correct Data Set	Update contact details	Staff Training	Notes
Borough Secretary	2	0	1	1	0	0	0	0	0	1	* Data subjects name published in LGBT online Committee Meeting minutes

Customers and Communities	2	0	1	1	0	0	0	0	0	1	* Front and back of payment card copied and added to electronic document management system as proof of ID.
Economy Assets and Culture	1	0	0	1	0	0	0	0	0	0	
Finance and Governance	2	0	2	0	0	0	2	0	0	0	* Email response to police including DWP request in email chain. Police confirmed deletion within 20 minutes. * File Transfer Protocol issue with the NBC computer network.
Planning	8	0	6	2	0	0	5	0	0	1	* Published applicants signature online *Document not fully redacted published online *Email intended for Cllr sent to a member of the public *Member of public sent copy of third party comments as part of confirmation that comments had been received. *Email containing confidential advice on an application sent to wrong address. *Addresses for unauthorised works published in Cabinet papers.
CTax & HB (LGSS)	13	1	8	4	0	0	4	0	1	4	* Reportable Breach. Income and Expenditure form sent to wrong

												address. * Council Tax Demand sent to estate agent rather than landlord. * Guildhall printer defaulted to Angel Square and printed CTax letter without requiring PIN. * Document to wrong address * Child care form sent to wrong address (no child details on form or would be reportable) * Email sent to wrong email address * Wrong attachment sent out with outline Universal Credit, named and NI number. * Screenshots of system sent to wrong applicant. * Income and Expenditure sent to wrong address.
Cllr	0	0	0	0	0	0	0	0	0	0	0	
Environmental Health	1	0	0	1	0	0	0	0	0	0	0	
HR and Payroll	1	0	0	1	0	0	0	0	0	0	0	
Post Room	2	1	0	0	1	0	0	0	0	0	2	*Benefits documentation sent to wrong person. *Housing application details sent to wrong person (NPH)
Housing and Wellbeing	8	1	4	2	0	1	3	0	0	0	2	* Reportable breach. Letter notifying tenant of landlords impending loss of property due to failure

GDPR Benchmarking

	Period	Data Incidents notified to DPO	Incidents not considered breaches	Non reportable breaches after investigation	Breaches reported to the ICO
NBC	Nov19 - Jan20	14*	5	8	0
NCC	Nov19 - Jan20	21	2	19	2
Colchester	Nov19 - Jan20	12	2	10	0
Ipswich	Nov19 - Jan20	7	0	7	0
Wellingborough	Nov19 - Jan20	2	1	1	0
Daventry	Nov19 - Jan20	1	0	1	0
		*(1 breach deferred to another controller)			
Full Year to date					
NBC	April19 - Jan20	48**	16	26	3
Corby	April19 - Jan20	25	3	15	0
		** (3 breaches deferred to another controller)			

A small comparison exercise has been completed to consider if NBC's breach numbers are comparable to other authorities locally and nationally. The results do not take into account local factors which may increase or decrease the risk of a breach such as location, software, hardware, training and security.

7. AOB:

- Performance reporting to be updated following the issue of the new Corporate Plan.
- Service plans are being updated to accurately reflect the objectives of the Corporate Plan and to clearly show progress against the plan through the measures identified and reported quarterly.