



INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS REPORT

Northampton Borough Council

March 2021

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BDO

Summary of Recommendations Followed Up in March 2021

2018/19

	Total Recs	Priority			To follow up	Complete		In Progress		Overdue		No Response		To Unitary		% Complete
		H	M	L		H	M	H	M	H	M	H	M			
Procurement	1		1		1						1					0
Member Officer Protocols	2		2		2						2					0
	3		3		3						3					0

2019/20

	Total Recs	Priority			To follow up	Complete		In progress		Overdue		No Response		To Unitary		% Complete
		H	M	L		H	M	H	M	H	M	H	M			
GDPR	1	1			1					1						0
Contract Mgmt	1		1		1						1					0
Cyber	3		3		3			1		2						0
Asset Mgmt	5	2	3		5	1	1	2								40
Safeguarding	13	5	8		11							3	8	2		0
Disabled Facilities Grant	1	1			1							1				0
	24	8	16		22	1	1	1	3	1	3	4	8	2		9

2020/21

	Total Recs	Priority			To follow up	Complete		In progress		Overdue		No Response		To Unitary		% Complete
		H	M	L		H	M	H	M	H	M	H	M			
Capital Projects	6	6			3									3		100
Social Lettings Agency	5	1	4		5		1	3								20
Climate Emergency	6	4	2		0									4	2	N/A
NPH Mgmt Agreement	8	4	4		8	4	4									100
Licensing	5		5		0										5	N/A
	30	15	15		16	7	5	1	3					14	9	75

Summary

FOLLOW UP GOING FORWARD - BDO RECOMMENDATIONS

Following the issue of reports, all due High and Medium recommendations will be followed up within this report.

RECOMMENDATIONS

- 41 recommendations are due for follow-up with recommendations due prior to the end of **March 2021**
- Previous recommendations may simply have a revised date that is post this Committee and therefore, will be picked up by the Unitary authority.

Of the 41 recommendations we followed up on:

- Eight High and six Medium recommendations were fully implemented by the Council and we received sufficient evidence to support implementation of these recommendations
- 15 recommendations were incomplete (three High, 12 Medium) and the due date has now been revised more than twice on these recommendations, therefore they are overdue
- There were a large number of recommendations which we did not receive a response for (12). In one of these the recommendation was issued the responsible manager an email 4 weeks prior to the follow up review and a further chaser email at the end of the 4 week period. In the other 11 recommendations we did not receive a response for related to the Safeguarding review. We chased officers for these recommendations throughout March 2021.

FOLLOW UP PROCESS

As part of the follow-up process we issued all recommendations due for implementation on or before 28 February on 2 February 2021. Recommendations due were sent to all responsible officers and the corresponding heads of service. We gave responsible officers 4 weeks to respond. We subsequently chased officers throughout March 2021.

We are required to escalate non responses and/or recommendations with several revised due dates to the Corporate Management Board (CMB). All responsible officers responded to our follow up within the allotted time-frame so we were not required to escalate non responses to CMB in this follow up.

For all incomplete recommendations, we will:

1. Continue to emphasise to staff to be realistic about the implementation dates when completing their management responses at the completion stage of each internal audit review
2. Issue the recommendations tracker to all the relevant Heads of services on a monthly basis from the December audit committee onwards
3. Issue reminder emails 4 weeks prior to the follow up review to ensure timely completion of each recommendation.

POSITION STATEMENT

As Northampton Borough Council's transition into the West Northamptonshire Unitary Council is impending on 1 April 2021 we have provided a summary of all recommendations that will be taken into the new Unitary at the end of this report. In addition, those recommendations that

are incomplete have been given a revised due date so that legacy recommendations can be followed up by the internal auditors of the new Unitary Council.

Recommendations: Complete

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20. Asset Management	Complete outstanding/overdue valuations identified in our review as soon as possible	M	Economic Growth & Regeneration Manager	30/06/20 31/12/20	<p>Council Comments: These valuations have been completed.</p> <p>IA Comments: We were satisfied that this recommendation had been implemented.</p>
2019/20. Asset Management	The Property Management's team work with the LGSS Procurement Manager on procurement practices is finalised and rolled out as soon as possible	M	Economic Growth & Regeneration Manager	31/12/20	<p>Council Comments: The Property Maintenance team have engaged with procurement to undertake procurement of services where required.</p> <p>IA Comments: We were satisfied that this recommendation had been implemented.</p>
2020/21. Capital Projects	Review, with immediate effect, the current contract management, information and data retention policy and procedures and ensure they detail the roles and responsibilities for project managers across all major Council projects	H	Economic Growth & Regeneration Manager	28/02/20	<p>Council Comments: A review has been undertaken of the contract management, information and data retention policy and procedures as was apparent in the 18/19 Major Capital Projects audit where all required information was provided.</p> <p>IA Comments: We were satisfied that this recommendation had been implemented.</p>
2020/21. Capital Projects	Review, with immediate effect, the policy and procedures pertaining to the handover of projects across the Council and ensure they are sufficient and appropriate to guide project managers on the expected process. A handover process should as a minimum cover:	H	Economic Growth & Regeneration Manager	28/02/20	<p>Council Comments: All projects are required to keep information relating to their delivery in shared files, this includes contracts, reports, risk registers and risk assessments.</p> <p>IA Comments:</p>

	<ul style="list-style-type: none"> • Procurement and contract documents being handed over • All previous contract management minutes, indicators and performance reports • Any risk registers or risk assessment documents 				We were satisfied that this recommendation had been implemented.
2020/21. Capital Projects	Review, with immediate effect, the governance arrangements in place for project management appointments across all major Council projects. Ensure there are appropriate procedures in place to align project requirements with the most suitably qualified project manager and ensure this is documented for audit trail purposes	H	Economic Growth & Regeneration Manager	28/02/20	<p>Council Comments:</p> <p>This was looked at in the 18/19 Capital Projects Audit and has been investigated by officers since to ensure that all capital projects are appropriately resourced with suitable governance mechanisms.</p> <p>IA Comments:</p> <p>We were satisfied that this recommendation had been implemented.</p>
2020/21. Social Lettings Agency	The Council should implement a risk register to monitor the Agency's risks. This should be reviewed on at least a quarterly basis to ensure that there are appropriate mitigations in place and new risks can be added	M	Social Lettings Manager	31/01/21	<p>Council Comments:</p> <p>This has been completed and will be continued to monitored and updated on a quarterly basis.</p> <p>IA Comments:</p> <p>The risk register has been updated and the Council will monitor this quarterly.</p>
2020/21. NPH Management Agreement	The Council should obtain a documented delivery plan from NPH for the current year. A formal meeting should be arranged to discuss the delivery plan and assess whether the agreed services are being delivered accordingly	H	Director of Housing and Well-being	08/03/2021	<p>Council Comments:</p> <p>A letter has been sent to the CEO of NPH for a request of a copy of the delivery plan for 2020/21 as well as a meeting with their management teams to ensure that the delivery of services is meeting agreed standards.</p> <p>IA Comments:</p> <p>We reviewed the letter and confirmed that a formal meeting has been requested to discuss NPH's work against the delivery plan.</p>
2020/21. NPH	The Council should hold formal discussions with	H	Monitoring Officer	08/03/2021	<p>Council Comments:</p>

Management Agreement	NPH around the expectations of the transparency of their board meetings. If deemed appropriate, the Council should remind NPH of the terms of the Management Agreement and in particular Clause 16.1 and be prepared to take formal action against NPH if this is not adhered to				<p>A letter has been sent to the Chief Executive of the new West Northamptonshire Unitary Council with a copy of the Internal Audit report making reference to their concerns around openness and transparency of the NPH board.</p> <p>IA Comments: We reviewed the letter sent and was satisfied it informed the new Unitary of the importance of transparency.</p>
2020/21. NPH Management Agreement	The Council should arrange for a formal meeting to be held between senior officers and the four Council nominees to take place on a regular basis. This should be supported by a structured agenda	H	Monitoring Officer	08/03/2021	<p>Council Comments: A letter has been sent to the Chief Executive of the new West Northamptonshire Unitary Council with a copy of the Internal Audit report with reference to the recommendation and the importance of transparency to the NPH board.</p> <p>IA Comments: We reviewed the letter sent and was satisfied it informed the new Unitary of the importance of transparency.</p>
2020/21. NPH Management Agreement	Alternatively, the Council should appoint a Council officer as one of the four Council nominees to the NPH board to maintain oversight of the NPH board discussions and are able to include the Council's perspective at NPH board meetings	H	Monitoring Officer	08/03/2021	<p>Council Comments: This is not applicable for the Council as they have taken the option of recommendation 1.1 suggesting that the new West Northamptonshire Unitary Council obtain better transparency of the NPH board.</p> <p>IA Comments: We reviewed the letter sent and was satisfied it informed the new Unitary of the importance of transparency.</p>
2020/21. NPH Management Agreement	A document should be prepared that outlines the responsibilities and obligations of the Council in relation to the	M	Director of Housing and Well-being	08/03/2021	<p>Council Comments: A letter has been sent to the Assistant Director of Housing & Communities of the new West</p>

	<p>Management Agreement. For each responsibility and obligation a named Council officer should be identified as accountable. This should be agreed by CMB and the named officers should be formally made aware of their responsibilities</p>				<p>Northamptonshire Unitary Council with a copy of the Internal Audit report making reference to the importance of roles and responsibilities of named officers being established between the Unitary and NPH.</p> <p>IA Comments: We reviewed the letter sent and confirmed that the audit report was provided to West Northants and particular reference was made to the need to establish roles and responsibilities.</p>
2020/21. NPH Management Agreement	<p>Council members should be reminded that, unless in accordance with liaison protocols, communication with NPH staff should be subject to agreed structures</p>	M	Monitoring Officer	08/03/2021	<p>Council Comments: A letter has been sent to the Chief Executive of the new West Northamptonshire Unitary Council with a copy of the Internal Audit report and suggests that they may want to implement the recommendations.</p> <p>IA Comments: We reviewed the letter and confirmed that it made clear reference to the recommendations in the report.</p>
2020/21. NPH Management Agreement	<p>A communication process should be developed and agreed between the Council and NPH. We would expect this document to be clear about:</p> <ul style="list-style-type: none"> • The extent to which members can communicate with NPH • Clarity on the remit of officers in relation to liaison with NPH to ensure that officers are involved in discussions that impact their portfolio 	M	Monitoring Officer	08/03/2021	<p>Council Comments: A letter has been sent to the Chief Executive of the new West Northamptonshire Unitary Council with a copy of the Internal Audit report and suggests that they may want to implement the recommendations.</p> <p>IA Comments: We reviewed the letter and confirmed that it made clear reference to the recommendations in the report.</p>
2020/21. NPH Management Agreement	<p>The National Federation of ALMOs (NFA) suggest that communication tends to be more effective where organisations clearly</p>	M	Monitoring Officer	08/03/2021	<p>Council Comments: A letter has been sent to the Chief Executive of the new West Northamptonshire Unitary</p>

identify an individual for liaison. The Council should consider whether it would be appropriate to appoint one individual that is responsible for liaison with NPH

Council with a copy of the Internal Audit report and suggests that they may want to implement the recommendations. A separate letter was also sent to the Director of Housing & Communities of the new West Northamptonshire Unitary Council iterating the importance of having accountable named officers documented in the agreement with NPH.

IA Comments:

We reviewed both letters and confirmed that clear reference was made to the recommendations in the report.

Recommendations: In Progress

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20. Asset Management	Asset Management ensure where rent review provisions are in place these are undertaken in a timely manner as they fall due	H	Asset Manager	31/01/21	<p>Council Comments: Resources not adequate for scale of portfolio action so this will follow through to West Northants to consider.</p> <p>IA Comments: To be taken into the new Unitary.</p>
2020/21. Social Lettings Agency	The Council should ensure that the Empty Homes Officer role is filled and that their roles and responsibilities are clearly defined. Once the role is assigned this individual should pursue communication with the c.1200 empty properties	H	Housing Options & Advice Manager	31/03/21 30/04/21	<p>Council Comments:</p> <p>IA Comments:</p>
2020/21. Social Lettings Agency	The Council should define how the agency monitors the success of its communications strategy. This could include monitoring how many hits the Agency's website gets in addition to any additional measures by which the Agency wishes to measure itself against its communication strategy	M	Social Lettings Manager	31/01/21 31/03/21	<p>Council Comments:</p> <p>IA Comments:</p>
2020/21. Social Lettings Agency	<p>The Council should identify a set of KPIs to monitor performance against each of the objectives outlined in the business case. Examples of KPIs that the Council may wish to consider include:</p> <ul style="list-style-type: none"> Ensuring that all properties which are identified by the Council as being empty homes are investigated and appropriate action taken Monitoring Council expenditure on bed and breakfasts Assessing the number of properties which the Agency have identified as being 	M	Housing Options & Advice Manager and Social Lettings Manager	31/01/21 30/04/21	<p>Council Comments:</p> <p>IA Comments:</p>

suitable and comply
with the Council's
quality standards

Recommendations: Overdue

These recommendations have been marked as overdue as they have previously revised their implementation date. Therefore, they have now missed at least two implementation dates.

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2018/19. Procurement	The Council should give procurement and contract refresher training for staff involved with high-value contracts	M	Chief Finance Officer & Monitoring Officer	30/06/19 31/08/19 31/10/19 31/01/20 30/04/20 30/09/20 31/12/20 When Covid is over	<p>Council Comments: Training will be arranged for when business returns to normal following the Covid-19 pandemic. This will be completed by the new Unitary now due to the timelines.</p> <p>IA Comments: We recognise that the training could not take place due to Covid and that this will be carried into the new Unitary.</p>
2018/19. Member-Officer Protocols	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	M	Monitoring Officer	31/05/19 28/02/20 30/04/20 31/08/20 31/12/20 After Covid	<p>Council Comments: Due to the Covid-19 pandemic the Council have been unable to complete the training. This will be a recommendation that will be transferred to the new Unitary Council.</p> <p>IA Comments: Training delayed by Covid limitations and will be taken into the new Unitary where they will likely have their own new protocols for members and officers.</p>
2018/19. Member-Officer Protocols	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	M	Monitoring Officer	31/05/19 28/02/20 30/04/20 31/08/20 31/12/20 After Covid	<p>Council Comments: Due to the Covid-19 pandemic the Council have been unable to complete the training. This will be a recommendation that will be transferred to the new Unitary Council.</p> <p>IA Comments: Training delayed by Covid limitations and will be taken into the new Unitary where they will likely have their own new</p>

					protocols for members and officers.
2019/20. GDPR	Management should agree a contractual addendum as part of the outsourced agreement held with LGSS for the provision of revenues and benefits.	H	Data Protection Officer	30/11/19 31/03/20 30/09/20 31/12/20 To Unitary	<p>Council Comments: In light of the issues/uncertainty surrounding LGSS at the moment, the PDA extension has not been signed. If and when that happens this will be addressed then.</p> <p>IA Comments: This will be taken into the new Unitary who will have their own GDPR arrangements with revenues and benefits.</p>
2019/20. Contract Management	The Council should ensure that the PDA extension with LGSS is signed by both parties.	M	Chief Finance Officer	30/11/19 31/03/20 30/09/20 31/12/20 To Unitary	<p>Council Comments: In light of the issues/uncertainty surrounding LGSS at the moment, the PDA extension has not been signed. If and when that happens this will be addressed then.</p> <p>IA Comments: This will be taken into the new Unitary who will have their own agreement with LGSS or another provider.</p>
2019/20. Cyber	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.	M	ICT Service Delivery Client Manager	31/12/19 30/04/20 30/09/20 31/12/20 To Unitary	<p>Council Comments: There has been progress on alignment of IT risks identified on the Corporate Risk Register and the IT Risk Register but the Council are awaiting final confirmation from LGSS IT on this.</p> <p>IA Comments: This will be taken into the new Unitary who will have their own IT risk management arrangements.</p>
2019/20. Cyber	A scheduled plan for major incident response scenario testing should be developed and approved by the Digitalisation, Cyber security and Data Protection Group. Regular	M	ICT Service Delivery Client Manager	31/12/19 30/04/20 30/09/20 31/12/20 After Covid	<p>Council Comments: This will not be progressed until the pandemic has finished.</p> <p>IA Comments:</p>

	comprehensive cyber security testing should be included in the plan.				This will not be completed until the pandemic is over, which will be when the new Unitary is formed.
2019/20. Asset Management	As soon as the Unitary Authority asset management approach is agreed upon, Asset Management and Property Management policies and procedures should be updated and disseminated to staff as soon as possible. Policies and procedures should include change control	M	Asset Manager	30/09/20 28/02/21 30/04/21	<p>Council Comments: Understood this to now be a centralised function. Assistant Director to communicate update when in position.</p> <p>IA Comments: To be taken into the new Unitary.</p>
2019/20. Asset Management	Once the 'Community Asset Transfer Policy' is approved by Cabinet, the policy is disseminated to staff and relevant parties as soon as possible	M	Asset Manager	30/09/20 28/02/21 30/04/21	<p>Council Comments: Understood this to now be a centralised function. Assistant Director to communicate update when in position.</p> <p>IA Comments: To be taken into the new Unitary.</p>

Recommendations: No Response

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20. Disabled Facilities Grant	An annual declaration of interests should be completed by all staff members involved in DFG tendering selections. This should be based on the approved contractor list in place with signed records maintained centrally for all staff members	H	Private Sector Housing Manager	31/10/20 31/03/21	<i>Manager responsible was originally contacted on 02/02/21 and then further chased on 03/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	Communications should be issued on the intranet or via the CEO's update to remind staff that the two e-learning modules are mandatory and should be completed in a timely manner once assigned to officers	H	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	Staff that have been assigned the modules but not yet completed them should be reminded via an email from the relevant director that they should complete these modules	H	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	Completion of safeguarding training modules should be included in annual appraisals to ensure managers are monitoring whether staff complete the e-learning modules	H	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	All museum volunteer agreements and confidentiality agreements should be held electronically and in a central folder which is accessible to more than one member of staff to ensure the Council can access them at all times	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	Copies of the two completed reference forms for each museum volunteer should also be retained in a central folder to ensure	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final</i>

	they are accessible to the Council at all times				<i>request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	All new starters identified in our sample that have not completed the modules should be reminded by an email from their manager to complete the module	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	As per finding 1.3, completion of the mandatory safeguarding modules should be embedded into staff appraisals	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	The Council should monitor the time taken to complete training and request anyone taking the training in an unrealistic timeframe to retake the training	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	Up to date DBS certificates should be obtained for the two officers identified in our sample where they were not held on record	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	A log should be developed for all staff that require DBS checks and include <ul style="list-style-type: none"> • The date when the DBS certificate was last obtained/renewed • The date when the DBS certificate is next due to be renewed 	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>
2019/20. Safeguarding	A training needs analysis should be developed to identify the training requirements for each job role. This should ensure that staff in roles with more exposure to vulnerable adults or children are required to undertake the additional training modules where appropriate	M	Director of Housing & Well-being	28/02/21	<i>Manager responsible originally contacted on 23/02/21 and then further chased on 05/03/21. We sent a final request for the recommendation implementation progress on 11/03/21.</i>

Recommendations: To Unitary

Audit	Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
2019/20. Cyber	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	M	ICT Service Delivery Client Manager	31/05/21	This will fall due once the new Unitary is formed.
2019/20. Safeguarding	The Council should ensure that a Contextual Safeguarding Policy and an E-Safety Policy are developed and approved. These should be disseminated to staff on the intranet	H	Director of Housing & Well-being	To Unitary	This will be a responsibility of the new Unitary Council.
2019/20. Safeguarding	A formal action plan should be developed and presented to CMB for approval to address how the Council will improve their arrangements for areas identified as 'not met areas' in the 2019/20 Section 11 Survey. Each action should have an action owner and target completion date. The Council should consider whether the action plan template in the Section 11 Survey document could be used for this	H	Director of Housing & Well-being	To Unitary	This will be a responsibility of the new Unitary Council.
2020/21. Capital Projects	Highlight the deficiencies from this review to all project managers currently managing projects of similar nature and ensure they are complying with the duties in the policy for document retention and contract management	H	Economic Growth & Regeneration Manager	31/03/21	To be taken into the new Unitary Council.
2020/21. Capital Projects	Carry out post implementation audits once a project has been completed to ensure all documents have been retained appropriately and are accessible	H	Economic Growth & Regeneration Manager	31/03/21	To be taken into the new Unitary Council.
2020/21. Capital Projects	Confirm the Council position on the documentation set out in the findings and whether this is available	H	Economic Growth & Regeneration Manager	31/03/21	To be taken into the new Unitary Council.

2020/21. Climate Emergency	<p>Additional information should be included within the strategy. This should include, but not be limited to:</p> <ul style="list-style-type: none"> • Northampton Borough-specific challenges and opportunities • Where the Strategy fits in with other policies and processes within the Council and how it will be delivered • More detail around current actions and steps in place within the Council with case studies to ensure greater buy-in and awareness • Use of statistics to demonstrate the level of risk to the Council • Link the themes and objectives to actions • NBC branding 	H	Director of Planning	31/03/21	To be taken into the new Unitary Council.
2020/21. Climate Emergency	<p>Dates within the action plan should be assessed to ensure they are feasible</p>	H	Director of Planning	31/03/21	To be taken into the new Unitary Council.
2020/21. Climate Emergency	<p>A formal governance structure should be established which includes the reporting line for both performance against targets and general performance including expenditure and resources</p>	H	Director of Planning	31/03/21	To be taken into the new Unitary Council.
2020/21. Climate Emergency	<p>A Terms of Reference should be established for the Energy Forum if it is to be responsible for monitoring progress and should include:</p> <ul style="list-style-type: none"> • Who is required to attend • What is to be reported to it • Who the forum reports to • Regularity of meetings 	H	Director of Planning	31/03/21	To be taken into the new Unitary Council.
2020/21. Climate Emergency	<p>Appropriate measures should be established that are able to be reported on monthly to provide an accurate quantitative data set to evidence progress against key metrics</p>	M	Director of Planning	31/03/21	To be taken into the new Unitary Council.
2020/21. Climate Emergency	<p>A clear commitment to establishing a carbon management plan should be made with current</p>	M	Director of Planning	31/03/21	To be taken into the new Unitary Council.

	actions linked to this in order to have a realistic timeline for its development				
2020/21. Licensing	Ensure that manual payments or exceptions/waivers for payments are supported by senior management written approvals. The arrangements should be placed into a Refund Policy which should be developed	M	Licensing Team Leader	01/10/21	To be taken into the new Unitary Council.
2020/21. Licensing	Continue to pursue with the Civica team about whether the platform can be improved to ensure that the payment screen is clearer to avoid refunds being needed	M	Licensing Team Leader	01/01/21	To be taken into the new Unitary Council.
2020/21. Licensing	Add in corporate process to reconcile payments to the Civica system to ensure all payments have been received - this should be done on at least a quarterly basis	M	Licensing Team Leader	31/03/21	To be taken into the new Unitary Council.
2020/21. Licensing	Ensure that guiding checklist are updated and followed by the Licensing team that includes the most frequent and important tips and guidelines when processing each application type	M	Licensing Team Leader	31/03/21	To be taken into the new Unitary Council.
2020/21. Licensing	Random spot checks on different application types should be conducted monthly to identify any missing or wrong supporting documents within applications and communicate them to the team as part of lessons learned	M	Licensing Team Leader	01/02/21	To be taken into the new Unitary Council.

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