Planned Action	Officer responsible	Target date for completion	Progress status
Significant Governance Issues: The transformation agenda and financial resilience/sustainability			
1. **Modelling sustainable savings plans** – approval of 'Options for Change' cases for implementation *(Also links to LGA Peer Challenge)*	Service Director - Transformation	Autumn 2021	⟳ In progress
The Council's revised approach to transformation and change was approved by the former Improvement & Change Sub-Committee, including the four cross-council programmes and two underpinning strands of work. Scoping documents for each of these programmes have been prepared, with full 'Options for Change' cases to be submitted for approval over the autumn. The newly established Strategic Insight Unit will have a continuing focus on identifying opportunities for sustainable transformation going forward.			
2. **CIPFA Financial Management Code**	Group Manager – Finance Strategy & Compliance	The code has now been implemented and the first full year of compliance is 2021/22.	⟳ In progress
The Financial Management Code (FM Code) is designed to support good practice in financial management and to assist local authorities in demonstrating their financial sustainability. The FM Code is based on a series of principles supported by specific standards which are considered necessary to provide the strong foundation to: • financially manage the short, medium and long-term finances of a local authority • manage financial resilience to meet unforeseen demands on services • manage unexpected shocks in their financial circumstances An updated assessment against the full code was presented to Finance Committee on 6/9/2021. The assessment was that NCC meets 14 of the 17 standards and exceeds the requirements of the other three.			
3. **Transformation best practice:** carry out the National Audit Office self-assessment guidance for best practice in Member scrutiny of transformation.	Group Manager Assurance	June 2021	👍 Completed
This was conducted as a piece of internal audit work, using the self-assessment as a basis for the audit programme. The final report was issued in April 2021 and returned an opinion of 'reasonable assurance'. The recommendations were accepted for implementation.			

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4. **Fair Funding & Business Rates Retention:** continue to be active in campaigning for the Fair Funding Review to take place.	Service Director – Finance, Infrastructure & Improvement	Ongoing pending an announcement from Government	↻ In progress
The original plan was for these reviews to be completed by 2020. Unfortunately, successive local government finance settlements have postponed this process, for a number of differing reasons, and therefore implementation into future years. Currently, there is considerable uncertainty as to whether Government has the appetite or Parliamentary time to pursue this in the original shape when first announced in the Chancellor's Autumn Statement in 2017. The various MHCLG/LGA working groups have not met for well over a year and the Local Government Settlement in December 2020 indicated implementation would be subject to future announcements. The scheduled Budget announcement in November 2021 will hopefully provide some updates on planned progress in this area.			
Significant Governance Issue: Local Government Peer Challenge			
5. **Developing an inclusive vision for Notts and showing leadership of place**	Chief Executive	Autumn 2021: approval of new Council Plan	↻ In progress
Plans for recovering from COVID-19 will encompass the Council's aspiration for devolution and for building on the Government's 'Levelling-Up' White Paper. We will want to examine all aspects of public sector reform, through conversations with our partners about working more closely together, aligning our services and looking at structures that might be both beneficial and acceptable to all. Progress continues with the preparation of the new Council Plan and the opportunities being taken to engage fully with all our partners and stakeholders. Senior members and directors continue to play an active role in the Nottingham & Nottinghamshire Economic Prosperity Committee.			
6. **Post-pandemic review:** formally review the Council's response to capture and apply learning for the future. This will build on two reports to date to Policy Committee on the impact of COVID-19.	Chief Executive	To be determined as the course of the pandemic permits	↻ In progress
Internal Audit has completed two reviews of the organisational response to the emergency, both of which delivered positive assurance. A follow-on review of the Council's emerging plans for recovery and renewal is currently being finalised. The Emergency Planning Team has reported the outcome of its debriefing survey to the Council's Risk, Safety and Emergency Management Board. This			

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considered the Council's management of the emergency through its emergency response framework and through its significant role within the Local Resilience Forum (LRF). A fuller review through the Local Resilience Forum will be conducted in due course.			

Significant Governance Issue: Cabinet/Scrutiny model of governance			
7. **Implementation of Cabinet/Scrutiny model of corporate governance**: incorporating work to review the constitution and operating model *(Also links to LGA Peer Challenge)*	Service Director – Customers, Governance and Employees	April 2022	In progress
Full Council gave approval in September 2021 to the development of proposals to change the Council's governance arrangements from a committee system of governance to the executive system (Leader and Cabinet model).This will require a comprehensive reworking of the Council's constitution, therefore this action now incorporates the previous entry on the Governance Actiom Plan for the constitution to be reviewed.			

Significant Governance Issue: Ofsted inspection of children's services			
8. **Ofsted inspection of children's services**	Corporate Director – Children and Families	Ongoing in 2021/22	In progress
Children and Young People's Committee received a report in February 2021 of the good progress being made against the action plan, along with a report of the constructive, annual conversation that took place between Ofsted and the Children and Families Leadership Team as part of the Ofsted inspection framework. The next six-monthly progress report will be considered by the Children & Families Committee in November 2021.			

Significant Governance Issue: Vulnerability to fraud and cyber security			
9. **Social care fraud risk:** Continue to monitor implementation of the agreed actions from the internal audit review of the Council's response to social care fraud.	Group Manager – Assurance and Service Directors/Group managers with responsibility for social care services	Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure	In progress
The latest position against the agreed actions from Internal Audit's previous reports on this issue shows positive assurance on progress.			

Planned Action	Officer responsible	Target date for completion	Progress status
Significant Governance Issue: UK General Data Protection Regulation (GDPR) / Data Protection Act 2018			
10. **Information Governance risks**	Service Director – Customers, Governance and Employees	Ongoing in 2021/22	In progress
The Information Governance Board, chaired by the Council's Senior Information Risk Owner (SIRO) and comprising senior representation from each Council Department along with the Data Protection Officer and Caldicott Guardian, meets regularly to keep IG risks under active management.			
Significant Governance Issue: Move to the Cloud and ICT resilience			
11. **ICT resilience:** keep the resilience of ICT provision, and development of digital working solutions, under frequent review to remain aligned with the Council's operating environment during recovery from the pandemic.	Group Manager - ICT	As part of established reporting to the Finance Committee in 2021/22	Continuing and stable
Substantial improvements in the resilience of our ICT systems were made, which supported the Council in its response to the pandemic. Quarterly ICT performance updates are now presented to the Finance Committee; the latest report was considered by the Committee in October 2021. A number of programmes are in train to improve resilience further, such as the Computer Equipment Replacement Programme, Cloud technology and Wide Area Network improvements			
Issues arising from the review of compliance with the Local Code of Corporate Governance			
12. **Equality Impact Assessments (EIA)** – review the approach with key stakeholders and deliver refresher training workshops for completion of EIAs, along with an online e-learning package.	Service Director – Customers, Governance and Employees	January 2022	In progress
The review of EQIAs has been completed using a working group, drawing members from across the Council. Consideration is currently being given to significant changes to the form. The key issue remains one of when to complete an EQIA and their relevance, and we are in the process of consulting on the changes proposed with the relevant parties, including the recognised trade unions.			

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Advice and guidance continues to be provided to managers across the Council undertaking service reviews or making changes to how work is delivered on content and necessity for EqIAs to be completed as part of consultation processes.			
13. **Register of Interests** – completion of the current review by Legal Services, followed by approval of proposed changes and awareness raising.	Group Manager – Legal, Democratic & Complaints	March 2022	In progress
Progress has been restricted by continuing demands on relevant officers. Outcomes are expected to be completed by the end of 2021/22 and further progress will be reported back in the Autumn.			
14. **Planning & Performance Management Framework:** review the framework in line with the development of the new Council Plan	Group Manager – Transformation & Change	Autumn 2021	In progress
The opportunity of the new Council Plan is being taken to refresh the Planning & Performance Management Framework. This will bring forward proposals for business intelligence reporting at all levels in the performance hierarchy. This revised action will incorporate a number of others which remained outstanding at the end of 2020/21, namely: - The assimilation of finance, performance and transformation reporting to the Corporate Leadership Team - Improvements to performance reporting in specific departments, notably in Place and the Chief Executive's Department - The co-ordinated use of benchmarking tools – this will be taken forward by the Strategic Insight Unit for consideration as part of its array of intelligence sources to inform its work.			
15. **Risk management:** agree and implement a revised approach to risk management for the Council	Group Manager – Assurance	March 2022	In progress
The outcome of the external report on the Council's arrangements for risk management was reported to the Governance & Ethics Committee in September 2021, along with outline details of the action plan now in place to implement the revised approach.			

Planned Action	Officer responsible	Target date for completion	Progress status
16. **Vacant property management:** further progress report to Governance & Ethics Committee on actions to address the risks identified by the internal audit	Corporate Director - Place	Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure	⟳ In progress
The latest update against the agreed actions from Internal Audit's previous reports on this issue identifies management assurance that the actions have been taken. The operating context for this area has changed significantly since the original audit was undertaken, therefore a fresh audit is due to be carried out towards the end of the financial year.			
17. **Data quality in Mosaic:** greater priority given to addressing issues highlighted by routine reporting	Corporate Director – Adults Social Care and Public Health, working with the Group Manager - Assurance	March 2022	⟳ In progress
As part of the 'Simplifying Processes' service improvement programme in ASCH, a consultant has been engaged to review reporting arrangements from Mosaic data. This will embrace standard principles for effective management information, therefore it is expected that this review will now embrace this action.			