























Planned action	Officer responsible	Target date for completion	Q3 Update
1. <b>Equality Impact Assessments (EIA) – identify and share key learning from the initial review of EIAs and review progress in 12 months' time.</b>	Monitoring Officer	Share outcomes from initial review by July 2019	 Initial review completed As part of a wider review of corporately sourced and delivered equality training, a series of workshops will be delivered between now and the end of April offering refresher training on completing EIAs. One of the focusses will be on when completion is a requirement as the review undertaken indicated a mixed picture in terms of understanding, compliance and mitigating actions regarding identified impact. In conjunction with these sessions, an online e-learning package is being developed. Like a number of our processes, it is only with frequent completion that officers develop their expertise and one of the areas for development is a series of completed documents which are available as examples of good practice. The dates of the workshops will be circulated across extended leadership team once finalised.
2. <b>Record of Interests – Legal Services Team to conduct a review of the Council's arrangements.</b>	Group Manager – Legal, Democratic & Complaints	September 2019	 Progressing Revised process is in development with key officers in Legal and HR which will then require validation with internal stakeholders before proposed changes are approved by Committee/Council as appropriate before awareness raising takes place with officers.
3. <b>Objection to 2015/16 financial accounts:</b>			
➤ <b>Respond to any recommended actions arising from the review of the objection</b>	Service Director – Finance, Infrastructure & Improvement	March 2020	 Progressing – near completion The objection will be reported in detail together with the action plan to the Governance & Ethics Committee in March 2020.
➤ <b>Review of the property section of financial regulations as part of the Constitution Review</b>	Group Manager, Legal, Democratic and Complaints	Starting Sep 2019 and due to complete by Mar 2020	 Progressing Work is progressing to identify changes required to reflect any necessary best practice improvements and to meet the future needs of the Council. Discussions will then take place with a number of internal officer stakeholders to ensure a range of views is taken into

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			account and that the revisions safeguard probity whilst supporting the efficient transaction of business.
4. <b>Best practice guidance for governance – consider self-assessments against the CIPFA Financial Management Code</b>	Group Manager – Finance Strategy & Compliance	The code is applicable from 1/4/20, with the planned first full year of compliance being 2021/22	 Progressing CIPFA have indicated that that 2020/21 should be considered a shadow year and that by 31 March 2021 local authorities should be able to demonstrate that they are working towards full implementation of the code. The work undertaken on self-assessment against the draft code will be revised and updated and further information will be provided to Governance & Ethics Committee during the course of 2020/21.
5. <b>Planning &amp; Performance Management Framework</b>	Group Manager - Assurance	For all performance reporting in 2019/20	a)  Completed The Improvement & Change Sub-Committee considered a revised format of Council Plan Progress Report at its meeting on 27/1/2020. This focused on the high-level, place-based measures agreed by Policy Committee.
a) <b>implement the hierarchy approach to performance measures</b>			
b) <b>implement co-ordinated reporting of finance, performance and transformation to the Corporate Leadership Team</b>			b)  Progressing The revised approach to CLT reporting was accepted in June 2019 but this continues to be under development. A revised schedule for implementation will be presented to CLT at the end of February 2020.
6. <b>Service Planning – implement simplified approach to service planning</b>	Group Manager - Assurance	May 2019	 Completed Now in operation. Guidance and templates have been issued for completion of 2020/21 Service Plans.
7. <b>Performance reporting in specific departments – Revised arrangements for monthly performance board reporting in the Place and Chief Executive's Departments</b>	Group Manager – Assurance	June 2019	 Commenced To be developed for the Chief Executive's Department alongside the department's refreshed operating model. Revised format of reporting to Committee against the Place Dept core data set is in place, and engagement with the departmental leadership team is planned to determine regular performance report requirements.

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8. <b>Benchmarking - Co-ordinate CIPFA benchmarking reports and consider its use within the performance management framework, along with other benchmarking tools (eg CFO Insights)</b>	Group Manager – Assurance	September 2019	 Commenced Consultations have started to gauge views around the continued benefits from CIPFA benchmarking clubs in the face of diminishing levels of participation. To be widened to consider the scope for systemised use of CFO Insights.
9. <b>Performance management – carry out an internal audit review of service planning and performance management</b>	Group Manager – Assurance	March 2020	 Progressing A draft scope for this internal audit was considered by CLT in December 2019, when it was determined to focus on service planning. Assurance Lincolnshire will carry out the audit in Quarter 4.
10. <b>Transformation Operating Model – agree and implement a revised operating model for transformation in the Council</b>	Group Manager – Transformation and Change	Report to Committee by June 2019	 Progressing A paper outlining the future approach to Transformation and Change and recommending the procurement of an external partner to work alongside us was approved at Policy Committee in October 2019. Through the procurement process, Newton have been selected as the external partner. Preparatory work is underway, and it is expected that the initial 3-month phase of diagnostic work will begin in February. Updates will be provided to Improvement and Change Sub-Committee.
11. <b>Monitor implementation of the Annual Fraud Report action plan</b>	Group Manager – Assurance	Update report to Governance & Ethics Committee in December 2019	 Completed The Governance & Ethics Committee received a progress report in December 2019, setting out progress against the action plan. Many actions had been completed, and a focus identified for the remainder of the year.
<b>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.</b>	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	 Progressing The January 2020 follow-up report to the Governance & Ethics Committee on the implementation of internal audit recommendations confirms the implementation of agreed actions relating to Direct Payments. This update also includes agreed actions

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			relating to the internal audit of Direct Payment Support Service providers, implementation of which continues to progress.
<b>12. Governance &amp; Ethics Committee self-assessments – implement agreed action plans arising from the review of best practice guidance</b>  <b>a) Training session on risk management</b>  <b>b) Links with Improvement &amp; Change Sub-Committee</b>	Group Manager – Assurance, in close liaison with the Chairman of the Governance & Ethics Committee and relevant Group Managers	In accordance with the timelines agreed with the Committee	<p> Yet to start Emergency Planning priorities have prevented progress with this action. In view of the intention to transfer responsibility for corporate risk management to the Risk &amp; Insurance Team, this action will be taken forward by the new Risk &amp; Insurance Manager in the new financial year.</p> <p> Yet to start Self-assessment against the NAO guidance for audit committees on transformation to be reported first to CLT and then to the Sub-Committee. Due to workloads around progressing the revised approach to transformation, this will now be progressed early in the new financial year.</p>
<b>13. Risk appetite - Development of an approach to establishing the Council's risk appetite</b>	Group Manager, Emergency Planning Management and Registration	Next risk management update to Governance & Ethics Committee	<p> Yet to start Emergency Planning priorities have prevented progress with this action. In view of the intention to transfer responsibility for corporate risk management to the Risk &amp; Insurance Team, this action will be taken forward by the new Risk &amp; Insurance Manager in the new financial year.</p>
<b>14. Serious &amp; Organised Crime - Implement the action plan for addressing the threat posed by serious and organised crime.</b>	Group Manager - Assurance and key Service Directors in affected areas of service	Through timelines agreed with the Governance & Ethics Committee	<p> Completed The action outstanding related to the establishment of a data-washing exercise for the Council's supplier data against known targets. Matching against a first tranche of data identified no concerns. A protocol is now in place with the</p>

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			Government Agency Intelligence Network (GAIN) to undertake further exercises on a six-monthly basis.
<p><b>15. Independent Inquiry into Child Sexual Abuse (IICSA) - Respond to any recommended actions arising from the report into Nottinghamshire councils.</b></p> <p><b>Update the Council's response for the findings and recommendations of IICSA in its Accountability &amp; Reparations Report.</b></p>	Corporate Director - Children, Families and Cultural Services	<p>Comprehensive action plan to be presented to Children &amp; Young People's Committee in December 2019</p> <p>On publication of IICSA's 2<sup>nd</sup> phase report</p>	<p> Completed</p> <p>Children &amp; Young People's Committee approved a comprehensive action plan in response to the report of the 1<sup>st</sup> phase of the inquiry, and the Committee will receive periodic progress reports. A cross-party working group of Members and officers has been established to review the governance of Looked After Children care settings; its findings will be reported to the Children &amp; Young people's Committee in July 2020.</p>
<b>16. LGA Peer Challenge – devise and approve an action plan to implement agreed recommendations from the Peer Challenge.</b>	Chief Executive	Policy Committee October 2019	<p> Policy Committee approved the action plan in October 2019. Progress is being monitored by the relevant Committee for each action.</p>
<b>17. Vacant property management – further progress report to Governance &amp; Ethics Committee on actions to address the risks identified by the internal audit</b>	Corporate Director - Place	Update report to Governance & Ethics Committee in July 2019	<p> Progressing</p> <p>Management assurance on implementation of the actions was delivered to the Governance &amp; Ethics Committee in November 2019. Internal Audit compliance testing is currently in progress and will be reported separately to the Committee.</p>
<b>18. Data quality in Mosaic – greater priority given to addressing issues highlighted by routine reporting</b>	Corporate Director – Adults Social Care and Health	To commence in the first quarter of 2019/20	<p> Progressing</p> <p>Improved reporting/dashboard on data quality have been introduced in Children's and are being looked at for roll out to Adults.</p>
<b>19. Active management of Pension Fund Committee meetings</b>	Service Director – Finance, Infrastructure & Improvement	March 2020	<p> Progressing</p> <p>A report is being prepared for the Pension Fund Committee to consider options around ensuring its meetings continue as now.</p>