

Governance and Ethics Committee

Thursday, 09 June 2022 at 14:00

County Hall, West Bridgford, Nottingham, NG2 7QP

AGENDA

- 1 To note the appointment by Full Council on 12 May 2022 of Councillor Philip Owen as Chairman and Councillor John Lee as Vice-Chairman of the Committee for the 2022-23 municipal year
- 2 To note the membership of the Committee for the 2022-23 municipal year as follows: Councillors Philip Owen, John Lee, Richard Butler, Bethan Eddy, Errol Henry, Andy Meakin, Michael Payne, Sue Saddington, Helen-Ann Smith, Roger Upton and Daniel Williamson
- 3 Minutes of last meeting held on 21 April 2022 3 - 6
- 4 Apologies for Absence
- 5 Declarations of Interests by Members and Officers:- (see note below)
(a) Disclosable Pecuniary Interests
(b) Private Interests (pecuniary and non-pecuniary)
- 6 Local Government and Social Care Ombudsman Decisions (April to May 2022) 7 - 20
- 7 External Audit Plan 2021-22 21 - 52
- 8 Assurance Mapping Annual Report 2021-22 53 - 72
- 9 Interim Chief Internal Auditor's Annual Report 2021-22 73 - 94
- 10 Follow-up of Internal Audit recommendations – 6-monthly update 95 - 110

11	Review of Petitions Scheme	111 - 118
12	Update on the use of the Councillor's Divisional Fund	119 - 156
13	Bassetlaw Community Governance Review - Stage 2	157 - 162
14	Work Programme	163 - 166

Notes

- (1) Councillors are advised to contact their Research Officer for details of any Group Meetings which are planned for this meeting.
- (2) Members of the public wishing to inspect "Background Papers" referred to in the reports on the agenda or Schedule 12A of the Local Government Act should contact:-

Customer Services Centre 0300 500 80 80

- (3) Persons making a declaration of interest should have regard to the Code of Conduct and the Council's Procedure Rules. Those declaring must indicate the nature of their interest and the reasons for the declaration.

Councillors or Officers requiring clarification on whether to make a declaration of interest are invited to contact Jo Toomey (Tel. 0115 977 4506) or a colleague in Democratic Services prior to the meeting.

- (4) Councillors are reminded that Committee and Sub-Committee papers, with the exception of those which contain Exempt or Confidential Information, may be recycled.
- (5) This agenda and its associated reports are available to view online via an online calendar - <http://www.nottinghamshire.gov.uk/dms/Meetings.aspx>



Meeting GOVERNANCE AND ETHICS COMMITTEE

Date Thursday 21 April 2022 (commencing at 2.00 pm)

membership

COUNCILLORS

Philip Owen (Chairman)
Nigel Moxon (Vice-Chairman)

Richard Butler	Helen-Ann Smith
Neil Clarke MBE	Roger Upton
John Cottey	Daniel Williamson
Errol Henry JP	Elizabeth Williamson
Michael Payne - Apologies	

SUBSTITUTE MEMBERS

Councillor Jim Creamer for Councillor Michael Payne

OFFICERS IN ATTENDANCE

Richard Elston	Chief Executive's Department
Nigel Stevenson	
Jo Toomey	
Marjorie Toward	

Melanie Brooks	Adult Social Care and Health
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Marion Clay	Children and Young People
Louise Benson	

Derek Higton	Place Department
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EXTERNAL AUDIT

Andrew Smith	Grant Thornton
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1. MINUTES

The Minutes of the last meeting held on 10 March 2022, having been previously circulated, were confirmed and signed by the Chairman.

2. APOLOGIES FOR ABSENCE

Apologies for absence were received from:

- Councillor Payne (other County Council business)

3. DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None.

4. UPDATE ON LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN DECISIONS (FEBRUARY 2022 TO MARCH 2022)

The report informed the Committee about the decisions of the Local Government and Social Care Ombudsman relating to the Council since the last update was presented in March 2022. The Service Director, Education, Learning and Skills gave a brief overview of steps that had been put in place in response to the complaint where fault had been found by the Ombudsman around a failure to follow the process when reviewing an Education, Health and Care Plan.

During discussion, Members:

- Asked in what circumstances complaints related to matters being dealt with through other processes, for example, court proceedings, could subsequently be resubmitted on conclusion of those proceedings
- Asked about the process changes that had been made relating to the complaint relating to the accessibility of blue badge applications

RESOLVED: 2022/012

That no further actions were required in relation to the information contained within this report.

5. LEARNING FROM COMPLAINTS IN ADULT SOCIAL CARE

The report, which was introduced by the Corporate Director, Adult Social Care and Health related to a trend that had previously been identified by the Committee. In receiving its regular reports on the Ombudsman's findings around complaints, members had noticed a number of those related to Adult Social Care and Health, and specifically communication.

During discussion, Members:

- Asked about opportunities for benchmarking complaint information nationally and regionally and were advised about a regional piece of work that was underway

RESOLVED: 2022/013

That the contents of the report be noted.

6. EXTERNAL AUDIT – ANNUAL AUDIT REPORT 2020-21

During discussion, Members:

- Sought reassurance that the Council would be implementing the recommendations set out in the Annual Audit report
- Asked for reassurance about the timing of receipt for the Annual Audit Report 2021-22

RESOLVED: 2022/014

That the External Auditors' Annual Audit Report 2020/21 be accepted.

7. STATEMENT OF ACCOUNTS 2021-22 – ACCOUNTING POLICIES

RESOLVED: 2022/015

That the authority's accounting policies for 2021/22 be approved.

8. INFORMING THE RISK ASSESSMENT – 2021-22 STATEMENT OF ACCOUNTS

Members reviewed the report Informing the 'Risk Assessment – 2021-22 Statement of Accounts' and considered whether the management responses provided were consistent with their knowledge of the County Council.

RESOLVED: 2022/016

That the 'Informing the Audit Risk Assessment for Nottinghamshire County Council for 2021/22' document from the external auditors be accepted.

9. LOCAL CODE OF CORPORATE GOVERNANCE AND ANNUAL GOVERNANCE STATEMENT 2021-22

RESOLVED: 2022/017

- 1) That the Annual Governance Statement for 2021/22 be approved
- 2) That the contents of the Local Code of Corporate Governance be kept under review by the Committee through the in-year governance update reports to ensure the impact of the Cabinet/Scrutiny model of governance is accurately reflected in the Code.

10. GOVERNANCE AND ETHICS COMMITTEE ANNUAL REPORT

RESOLVED: 2022/018

That the achievements of the Governance and Ethics Committee in 2021/22 be noted and the intended areas of focus for 2022/23 be endorsed.

11. RUSSIAN INVASION OF UKRAINE – IMPLICATIONS FOR NOTTINGHAMSHIRE COUNTY COUNCIL

During discussion, Members:

- Asked whether Veolia had links with Russia. Members were advised that the Council's supply chains had been checked for direct links, of which there were none, and stated that the question would be followed-up with Committee members being advised of the outcome
- Asked questions about the schemes to support refugees from Ukraine and the role that the Council was playing

RESOLVED: 2022/019

That the risk assessment set out in the report and the actions being taken to mitigate those risks be noted.

12. RUSHCLIFFE COMMUNITY GOVERNANCE REVIEW (UPPER SAXONDALE)

RESOLVED: 2022/020

That the Chief Executive be authorised to submit the letter attached as Appendix A to the report as a courtesy response to the consultation on the draft proposals to create a new, Upper Saxondale Parish Council within the borough of Rushcliffe, reserving its position for any formal response until phase 2 of the consultation.

13. WORK PROGRAMME

RESOLVED: 2022/021

That the work programme be agreed.

The meeting closed at 2.40 pm.

CHAIRMAN

9 June 2022**Agenda Item: 6****REPORT OF THE SERVICE DIRECTOR FOR CUSTOMERS, GOVERNANCE
AND EMPLOYEES****LOCAL GOVERNMENT & SOCIAL CARE OMBUDSMAN DECISIONS
APRIL 2022 TO MAY 2022****Purpose of the Report**

1. To inform the Committee about Local Government & Social Care Ombudsman's (LGSCO) decisions relating to the Council since the last report to Committee

Information

2. Members have asked to see the outcome of Ombudsman investigations regularly and promptly after the decision notice has been received. This report therefore gives details of all the decisions received since the last report to this Committee which was held on 21st April 2022.
3. The LGSCO provides a free, independent and impartial service to members of the public. It looks at complaints about Councils and other organisations. It only looks at complaints when they have first been considered by the Council and the complainant remains dissatisfied. The LGSCO cannot question a Council's decision or action solely on the basis that someone does not agree with it. However, if the Ombudsman finds that something has gone wrong, such as poor service, a service failure, delay or bad advice and that a person has suffered as a result, the LGSCO aims to get the Council to put it right by recommending a suitable remedy.
4. The LGSCO publishes its decisions on its website (www.lgo.org.uk/). The decisions are anonymous, but the website can be searched by Council name or subject area.
5. A total of ten decisions relating to the actions of this Council have been made by the Ombudsman in this period. Appendix A to this report summarises the decisions made in each case for ease of reference and Appendix B provides the full details of each decision.
6. Following initial enquiries into seven cases, the LGSCO decided not to continue with any further investigation for the reasons given in Appendix A
7. Full investigations were undertaken into three complaints. Appendix A provides a summary of the outcomes of the investigations. Where fault was found, the table shows the reasons for

the failures and the recommendations made. If a financial remedy was made the total amount paid or reimbursed is listed separately.

8. There was one complaint where fault was found (Appendix B). This was an Adults complaint regarding how the Council decided her mother deprived herself of assets before her death. Mrs X also complained the Council took two years from her mother's death to chase her, and her sister, for her mother's care home fees. The Ombudsman does not find fault with the Council's decision that Mrs X's mother deprived herself of assets. But, the Ombudsman does find fault with the Council's clarity and transparency over its decision and delays causing Mrs X frustration and uncertainty. The Council agreed to the Ombudsman's recommendation to apologise to Mrs X and reduce the outstanding balance owed by £400. The Council has already provided training to its staff.

Statutory and Policy Implications

9. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Data Protection and Information Governance

10. The decisions attached are anonymised and will be publicly available on the Ombudsman's website.

Financial Implications

11. The details of the financial payments are set out in Appendix A. £400 will come from Adults Social Care budget

Implications for Service Users

12. All of the complaints were made to the Ombudsman by service users, who have the right to approach the LGSCO once they have been through the Council's own complaint process.

RECOMMENDATION/S

- 1) That members note the findings of the Local Government and Social Care Ombudsman.

Marjorie Toward

Monitoring Officer and Service Director – Customers, Governance and Employees

For any enquiries about this report please contact:

Richard Elston Team Manager – Complaints and Information Team

Constitutional Comments (HD (Standing))

13. Governance & Ethics Committee is the appropriate body to consider the content of this report. If the Committee resolves that any actions are required, it must be satisfied that such actions are within the Committee's terms of reference.

Financial Comments (SES 13/05/2022)

14. The financial implications are set out in paragraph 11 of the report.
15. The details of the financial payments are set out in Appendix A. £400 is funded from the Adults Social Care budgetary provision.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

APPENDIX A

DECISIONS NOT TO INVESTIGATE FURTHER

DATE	LGO REF	PROCEDURE	COMPLAINT SUMMARY	REASON FOR DECISION
24.3.2022	21013693	Adults	Complaint about how Council handled safeguarding enquiry. Mr X believes his brother is being financially abused by daughter. This was investigated by the Council and no evidence found.	Complainant not happy with outcome of safeguarding enquiry however no fault found in process by LGO.
08.4.2022	21017548	Corporate	Complaint that the Council wrongly granted permission for access and refused to respond to requests for information	There is no evidence of fault in how the Council made its decision for vehicular access and the complainant can be referred to the ICO for access to information not the complaints process
25.3.2022	21017805	Corporate	Complaint that the Council wrongly granted permission for access and refused to respond to requests for information. This is a neighbour and so is the same complaint by a different service user as above	There is no evidence of fault in how the Council made its decision for vehicular access and the complainant can be referred to the ICO for access to information not the complaints process
21.4.2022	21019048	Childrens	Complaint that the Council advised Mr B's partner to deny access to his children	Cannot investigate as access to children is a matter for parents and/or the Courts
21.4.2022	21019111	Childrens	Complaint that social workers didn't investigate claims Mr T's ex partner had kidnapped children	Cannot investigate as the matter is something that isn't inseparable from the court case
10.5.2022	22000326	Adults	Complaint about Care Provider not following plan and Mother had a fall	Not investigating as could see plan followed and the fall was unfortunate
08.4.2022	22000805	Corporate	Complaint that car was damaged by a pothole	Cannot investigate as it is reasonable for Mr X to pursue compensation through the court

FULL INVESTIGATIONS WHERE NO FAULT FOUND

DATE	LGO REF ANNEX PAGE No	PROCEDURE	COMPLAINT SUMMARY	DECISION
25.3.2022	20011638	Adults	Complaint is on behalf of husband and that the Approved Mental Health Professional did not consider all factors when deciding whether to detain Mr X in hospital	No fault found in how the AMHP decided on whether to detain Mr X in hospital
11.4.2022	21004925	Children's	Complaint regarding the Council not identifying or providing an education for Mr C's son between 2019-2020	No Fault found in how the Council treated the son and fault found with the school but the Council has no control over this.

FULL INVESTIGATIONS WHERE FAULT FOUND

DATE	LGO REF ANNEX PAGE NO	PROCEDURE	COMPLAINT SUMMARY	DECISION	RECOMMENDATION	FINANCIAL REMEDY	STATUS OF AGREED ACTION
03.5.2022	21011999	Adults	Complaint about the Council claiming the Mother deprived herself of assets leaving family with bill for her care	The Ombudsman found no fault with the Council's decision that Mrs X's mother deprived herself of assets. But, the Ombudsman does find fault with the Council's clarity and transparency over its decision and delays causing Mrs X frustration and uncertainty	The Council agreed to the Ombudsman's recommendation to apologise to Mrs X and reduce the outstanding balance owed by £400. The Council has already provided training to its staff.	£400	Apology letter and amendment letter with £400 off the amount owed to be completed by end of May. Training completed for the staff member and refresher for all relevant staff to ensure reasons for making a gift/transfer are requested and recorded. Review of ACFS communications has begun.

The Ombudsman's final decision

Summary: Mrs X complained the Council decided her mother deprived herself of assets before her death. Mrs X also complained the Council took two years from her mother's death to chase her, and her sister, for her mother's care home fees. The Ombudsman does not find fault with the Council's decision that Mrs X's mother deprived herself of assets. But, the Ombudsman does find fault with the Council's clarity and transparency over its decision and delays causing Mrs X frustration and uncertainty. The Council agreed to the Ombudsman's recommendation to apologise to Mrs X and reduce the outstanding balance owed by £400. The Council has already provided training to its staff.

The complaint

1. Mrs X complained the Council decided her mother deprived herself of assets before her death. Mrs X says her mother did not deprive herself of assets but made a genuine gift of funds to her and her sister.
2. Mrs X also complained the Council took two years from her mother's death to chase her, and her sister, for her mother's care home fees.

The Ombudsman's role and powers

3. We investigate complaints about 'maladministration' and 'service failure'. In this statement, I have used the word fault to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. I refer to this as 'injustice'. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)
4. We cannot question whether a council's decision is right or wrong simply because the complainant disagrees with it. We must consider whether there was fault in the way the decision was reached. (*Local Government Act 1974, section 34(3), as amended*)
5. If we are satisfied with a council's actions or proposed actions, we can complete our investigation and issue a decision statement. (*Local Government Act 1974, section 30(1B) and 34H(i), as amended*)

How I considered this complaint

6. I have considered all the information Mrs X provided. I have also asked the Council questions and requested information, and in turn have considered the Council's response.
7. I considered comments from Mrs X and the Council before making my final decision.

What I found

Deprivation of assets

8. The charging rules for residential care are set out in the "Care and Support (Charging and Assessment of Resources) Regulations 2014" (the regulations), and the "Care and Support Statutory Guidance 2014" (CSSG). When the Council arranges a care home placement, it must follow these rules when completing a financial assessment to decide how much a person must pay towards the costs of their residential care.
9. The rules state that people who have over the upper capital limit, £23,250, should pay for the full cost of their residential care home fees. However, once their capital has reduced to less than the upper capital limit, they only have to pay an assessed contribution towards their fees.
10. Regulation 22 says councils must treat people as still having capital they have deprived themselves of for the purpose of reducing the amount they need to contribute to the costs of their care. Capital treated this way is often called 'notional capital'.
11. However, the CSSG says councils should not automatically assume deprivation. It says there may be valid reasons someone no longer has an asset and councils should ensure they fully explore this first.
12. Annex E of the CSSG says that when deciding if someone has deprived themselves of assets, councils should consider:
 - a) *Whether avoiding the care and support charge was a significant motivation;*
 - b) *The timing of the disposal of the asset. At the point the capital was disposed of could the person have a reasonable expectation of the need for care and support?; and*
 - c) *Did the person have a reasonable expectation of needing to contribute to the cost of their eligible care needs?*

Council Deprivation of Assets Guidance

13. The Council's guidance on Deprivation of Assets outlines how it will consider potential deprivation of asset instances.
14. The Council's guidance says it will start by confirming what assets a person no longer holds. It will do this to assess whether a person deprived themselves of these assets to reduce the amount the Council charges for their care. The Council's guidance says there are certain removals of assets that do not form deprivation and provides examples of these and outlines how staff should consider these.
15. The Council's guidance says that once it has established if a transfer of an asset could be considered deprivation, it must consider the relevant questions about

whether it was. The Council's guidance highlights the three questions outlined in the Care and Support Statutory Guidance under the Care Act 2014.

16. The Council's guidance provides details of how it should assess each of these questions. The Council's guidance says that when it has decided a person has deprived themselves of assets it should provide a "*full written explanation specifying the reason/s for the decision*" to the person.

What happened

17. In 2009, Mrs X's mother had Chronic Obstructive Pulmonary Disease (COPD) and mild arthritis. Mrs X's father passed away in 2010.
18. Mrs X's mother gifted both Mrs X and her sister £50,000 each in 2011. Mrs X's mother also broke her leg in 2011 and received acute care for this. The notes with from the Council at this time confirm Mrs X's mother's chronic illnesses had not worsened since 2009 and the care it proposed to provide was for her broken leg. The Council confirmed with Mrs X's mother that since she had savings of more than £23,250 she would be a self-funder for any care the Council arranged.
19. Mrs X's mother moved in with Mrs X in 2012. In 2014, Mrs X's mother sold her house and gifted £98,000 to Mrs X for an extension at Mrs X's property to enable her to live there permanently.
20. Mrs X says her mother's mental health worsened during her time living with her. In May 2015, Mrs X made a referral to the Council for a care needs assessment for her mother. The Council attended in June 2015 and completed a care assessment. The Council noted Mrs X's mother's health had worsened and that she qualified for Council support. The Council confirmed Mrs X's mother would be a self-funder and proposed a care package of support. Mrs X decided to proceed with an independent care agency.
21. The Council completed a further care assessment in June 2016 with Mrs X's mother spending some time in respite care in a residential care home in March 2016.
22. Mrs X arranged for her mother to move into rented accommodation in June 2016 because of a deteriorating living situation with Mrs X and her family. Mrs X's mother had a fall and went into hospital before moving into the rental accommodation. The hospital discharged Mrs X's mother in August 2016 with a care plan for four carers a day to help with rehabilitation.
23. Mrs X applied to the Council for a full care assessment on 8 November 2016 because her mother's health had not improved through rehabilitation support. The Council completed a care assessment and engaged with Mrs X for completion of a financial assessment.
24. On 20 January 2017, Mrs X completed the financial assessment forms with her mother. Mrs X said her mother gifted £100,000 in 2011 and £98,000 in 2014. Mrs X said that when her mother gifted these funds she could live alone but moved in with her because she was lonely. Mrs X said her mother's health worsened following the move in with her.
25. The Council wrote to Mrs X on 13 March 2017 to advise Mrs X would need to contribute to the full cost of her care because it considered the gifted funds were notional capital. The Council did not explain its reasoning.
26. Mrs X contacted the Council on 13 April 2017 to dispute its decision about deprivation of assets. Mrs X provided details of her mother's health and living

history and disputed that gifting the funds was motivated by avoiding care costs. Mrs X said her mother's funds were now below the £23,250 threshold.

27. The Council reconsidered its decision about deprivation of assets and wrote to Mrs X on 26 July 2017. The Council said:
- It did not consider the £100,000 gift in 2011 was deprivation of assets. The Council reached this decision because Mrs X's mother did not have reasonable expectation of needing to contribute to the cost of her care needs at this time because she did not have care needs.
 - The gift of £98,000 in 2014 was a deprivation of assets. The Council said it reached this decision because Mrs X's mother had "*considerable care and support needs*" when she gifted these funds. The Council also said Mrs X's mother was aware of the cost of care and support and the need to contribute towards the charges.
 - Mrs X should provide all invoices and receipts for Mrs X's mother's personal care and support from December 2015 so the Council could use this to depreciate the notional capital amount of £98,000.
28. Mrs X met with the Council on 22 September 2017 to discuss its decision about deprivation of assets. Mrs X told the Council her mother's funds were rapidly reducing and she now only had £4,000 left.
29. The Council reconsidered its decision on Mrs X's mother's deprivation of assets again following the meeting. The Council wrote to Mrs X on 27 October 2017. The Council said:
- When Mrs X's mother gifted the £98,000 in 2014, she had reasonable expectation of needing to contribute towards the cost of her care needs in the future.
 - The reason Mrs X's mother would have this expectation is because of her worsening health conditions.
 - It had further considered the reason for Mrs X's mother's disposal of her assets and had decided it could reduce the £98,000 notional capital. The Council said it would reduce the notional capital by the amount Mrs X, and her mother, spent on Mrs X's property extensions to make comfortable accommodation for her mother.
 - It could also reduce the notional capital for any amount spent on personal care and support needs.
 - It would recalculate the notional capital on receiving invoices and receipts from Mrs X.
30. Mrs X's mother moved into an Extra Care Living unit in January 2018 following a reassessment of her care needs.
31. The Council completed its review of the invoices and receipts Mrs X provided on 6 March 2018. The Council told Mrs X it had reduced her mother's notional capital from £98,000 to £25,907.51. The Council said based on the most recent financial information it had for Mrs X's mother she was still above the threshold for Council support.
32. Mrs X's mother began to incur a debt for unpaid costs at the Extra Care Living unit. Mrs X entered into discussions with the Council about the care costs and made a complaint on 14 August 2018 about its decision over the deprivation of assets.

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33. The Council provided its complaint response on 26 October 2018. The Council referred to its decision on 15 June 2017 about the deprivation of assets and said Mrs X's mother was liable for the full cost of her care.
34. Mrs X continued to dispute the Council's decision about deprivation of assets. The Council provided a formal response on 22 March 2019. The Council said it maintained its decision over the deprivation of assets. The Council said that while Mrs X's mother's funds may now have depleted she was still above the notional capital level. The Council directed Mrs X to the Local Government and Social Care Ombudsman (the Ombudsman).
35. Mrs X's mother passed away and Mrs X told the Council. The Council sent a letter to Mrs X on 29 April 2019 advising it would send a final bill for Mrs X's mother's care costs within the next four weeks.
36. On 30 May 2019, the Council wrote to Mrs X to advise Mrs X's mother's estate owed £12,006.61 for care costs. The Council advised it would contact again after 14 June 2019 if it had not heard from the family. The Council sent a reminder letter to Mrs X on 26 June 2019 for the care costs and warned of recovery action.
37. Mrs X contacted the Council and asked to meet to discuss the deprivation of assets. The Council responded to Mrs X to advise it could not add anything further to the discussion of deprivation of asset so would not meet with Mrs X. The Council directed Mrs X back to the Ombudsman.
38. On 16 March 2021, the Council wrote to Mrs X about the debt of £12,006.61 owed for her mother's care costs. The Council asked Mrs X to respond by 31 March 2021 to discuss payment of the debt. Mrs X told the Council she disputed the debt on 1 April 2021 and requested a meeting to discuss the deprivation of assets.
39. The Council responded to Mrs X on 19 August 2021 to advise it had completed its complaints process and had fully considered the deprivation of assets issue. The Council directed Mrs X back to the Ombudsman.

Analysis

40. Mrs X complained about the Council's decision that Mrs X's mother's transfer of £98,000 was a deprivation of assets.
41. There is no dispute that Mrs X's mother gifted funds amounting to £98,000 in 2014 to her daughters. Mrs X says her mother transferred these funds to Mrs X and her sister without any intention to avoid care charges.
42. The dispute centres over the Council's decision that Mrs X's mother transferred the funds to deliberately avoid care costs. The Ombudsman is not an appeal body. The Ombudsman's role is to consider the process followed by the Council, whether it followed the guidance and whether there was fault in the way it reached its decision. If the Council considered the information properly and followed the relevant legislation and guidance, the Ombudsman cannot find fault just because a person disagrees with the decision.
43. The Council should consider the three questions outlined in Annex E of the CSSG when deciding if a person has deprived themselves of assets.
44. When the Council made its first decision about deprivation of assets, in March 2017, the Council failed to demonstrate consideration of the three criteria in Annex E of the CSSG. When the Council wrote to Mrs X to provide its decision it failed to provide a full written explanation as outlined in its guidance. This was fault.

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45. The Council reconsidered the deprivation of assets in July 2017 following an appeal from Mrs X.
 46. The Council considered Mrs X's mother's health in 2009 and decided she did not have care needs that would have given her a reasonable expectation of needing care. The Council used this to decide the £100,000 Mrs X gave away in 2011 was not a deprivation of assets.
 47. The Council then considered Mrs X's mother's health and increased care needs in 2015 and Mrs X's comments that her mother's health had been declining since 2012. The Council used this to decide that Mrs X's mother would have had a reasonable expectation of needing care in 2014 when she gave away £98,000.
 48. The Council met with Mrs X's mother in 2011 following her broken leg. The Council provided an explanation of care costs to Mrs X and explained that Mrs X would be a self-funder because of her savings. The Council recorded this in Mrs X's mother's care records.
 49. The Council considered the information it provided to Mrs X's mother in 2011 would have given her reasonable expectation of needing to contribute to the cost of care when she gave away £98,000 in 2014.
 50. The Council's decision followed questions b) and c) of Annex E of the CSSG by asking the relevant questions. The Council detailed its consideration of question b) and c) in its letter of 26 July 2017. The Council considered the relevant information available and reached an appropriate decision in line with these questions.
 51. The Council did not show any consideration of what Mrs X's mother's motivation was in disposing of the assets in the letter of 26 July 2017. The Council failed to consider all three criteria when reaching its decision in July 2017. This is fault.
 52. When Mrs X appealed the Council's decision further, the Council met with Mrs X to discuss the matter and provided further consideration of its decision on 27 October 2017.
 53. The letter of 27 October 2017 directly considered both questions b) and c) of Annex E of the CSSG again. In the letter of 27 October 2017, the Council included the statement "*I have further considered the reason for the disposal*" of the asset within the letter of 27 October 2017. This shows the Council has considered Mrs X's mother's motivation for disposal of the assets in this instance.
 54. The Council's presentation of its rationale for consideration of question a) demonstrated fault in how the Council approached consideration of deprivation of assets. However, this does not present fault in its ultimate conclusion of a deprivation of assets.
 55. In March and July 2017, the Council treated the gift of funds from 2014 as a deprivation of assets without questioning the motivation to do so. This is fault because the Council's starting point was that a gift of funds was a deprivation of assets. The Council should have started from the assumption the gift was not a deprivation and then asked if the motivation behind the gift was to avoid care charges.
 56. In October 2017, the Council asked in what ways the gift of £98,000 in 2014 "*was not*" motivated to avoid care charges as opposed to why it "*was*" motivated to avoid care charges. While the Council used the wrong starting point in asking the question, the Council did consider Mrs X's mother's motivation in October 2017.

By considering Mrs X's mother's motivation, the Council concluded it could reduce the notional capital and ultimately did so to £25,907.51.

57. By October 2017, the Council considered all three questions and reached a decision that Mrs X's mother deprived herself of assets to avoid care charges. The Council considered the relevant guidance and information available. The Ombudsman cannot find fault with the Council's decision.
58. While the Council has considered the relevant factors in reaching its decision, its written explanations to Mrs X in March 2017, July 2017 and October 2017 were lacking. The Council did not provide suitable clarity about its consideration of the relevant questions in Annex E of the CSSG.
59. Since October 2017, Mrs X has disputed the Council's decision over deprivation of assets on four occasions. The Council has not provided further clarity to Mrs X on any of these occasions.
60. The Council's records also do not provide any additional clarity on its contemporaneous thinking or decision making about the deprivation of assets. This lack of clarity from the Council has presented avoidable uncertainty about the Council's consideration of the question of motivation. This lack of clarity has resulted in Mrs X returning to the Council repeatedly over a four-year period to continue to dispute the Council's decision. This has caused Mrs X frustration and stress.
61. Mrs X also complained the Council took two years, from August 2019 to March 2021, in following up payment of the outstanding care charges.
62. The Council has admitted that this delay was fault and explained it was caused by work pressures on its staff. While this delay was fault, Mrs X was aware of the Council's position in August 2019 about the outstanding balance. Neither the Council's position nor the balance owed changed from August 2019 to March 2021. This delay will have caused Mrs X frustration but this is mitigated by the Council confirming its position with Mrs X in May 2019 and maintaining this in March 2021.

Agreed action

63. Within one month of the Ombudsman's final decision the Council should:
- Apologise to Mrs X and apply a reduction to the outstanding balance owed of £400 for the uncertainty, frustration, inconvenience and stress caused through the delays and lack of clarity.

Final decision

64. There was fault by the Council as the Council has agreed to my recommendation I have completed my investigation.

Investigator's decision on behalf of the Ombudsman

9 June 2022

Agenda Item: 7

REPORT OF SERVICE DIRECTOR – FINANCE, INFRASTRUCTURE AND IMPROVEMENT

GRANT THORNTON – EXTERNAL AUDIT PLAN 2021/22

Purpose of the Report

1. To inform Members of the External Auditors' Audit Plan for their 2021/22 Audit.

Information

2. The attached report from our external auditors, Grant Thornton, sets out the proposed Audit Plan for the 2021/22 audit, including their approach, significant risks, fees, key staff and timelines for the audit. The report is presented to Members for their information. Andrew Smith, Engagement Lead - Grant Thornton) will be in attendance at the meeting to introduce the report and respond to Members' questions.

Other Options Considered

3. The report is for comment only.

Reason/s for Recommendation/s

4. To provide information to Members on the External Audit Plan 2021/22.

Statutory and Policy Implications

5. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

6. The anticipated total fees, excluding the indicative fee for grant claim certification, are £126,274 for Nottinghamshire County Council and £38,456 for the Nottinghamshire Pension Fund. As in 2021/22, the Department for Levelling Up, Housing and Communities is providing Local Authorities with £15.0m in 2022/23 to meet the rise in cost of external audit fees. It is

expected that Nottinghamshire's share of this allocation will be £38,984, the same as the 2021/22 allocation.

RECOMMENDATION/S

- 1) That Members to note the External Auditor's Audit Plan for 2021/22.

Nigel Stevenson

Service Director – Finance, Infrastructure and Improvement

For any enquiries about this report please contact:

Glen Bicknell, Senior Finance Business Partner, Financial Strategy and Compliance.

Constitutional Comments (25/05/2022 GR)

7. Further to the Nottinghamshire County Council constitution, this Committee has the delegated authority to receive this report.

Financial Comments (17/05/2022 GB)

8. The financial implications are set out in the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

Nottinghamshire County Council and Nottinghamshire Pension Fund audit plan

Year ending 31 March 2022

Nottinghamshire County Council
and Pension Fund

9 June 2022



Contents



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The contents of this report relate only to the matters which have come to our attention, which we believe need to be reported to you as part of our audit planning process. It is not a comprehensive record of all the relevant matters, which may be subject to change, and in particular we cannot be held responsible to you for reporting all of the risks which may affect the Council or all weaknesses in your internal controls. This report has been prepared solely for your benefit and should not be quoted in whole or in part without our prior written consent. We do not accept any responsibility for any loss occasioned to any third party acting, or refraining from acting on the basis of the content of this report, as this report was not prepared for, nor intended for, any other purpose.

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Key matters

Factors

Council developments

We have continued to hold regular meetings with the senior finance team at the Council. During these meetings we discuss a range of key issues regarding the Council and Pension Fund's general developments, current and projected financial performance, governance issues and regulatory oversight.

The period 10 financial monitoring report to 21st March 2022 Finance Committee forecast a £5.03m underspend for the 2021/22 year prior to use of reserves. The Council has also updated its Medium-Term Financial Strategy (MTFS) based on latest funding assumptions from the Local Government Funding Settlement and the approved 2022/23 Budget. The latest MTFS forecasts a funding gap of £29.1m from 2023 to 2026. On 24 February 2022, Full Council approved a Band D Council Tax increase for 2022-23 of 4.00% including 3.00% to be used for Adult Social Care as per the new flexibilities.

Pension Fund developments

2022 is the year of the triennial valuation. This will not impact the 2021/22 year however will determine the level of funding and future contribution rates effective from the following year. This will also entail a significant time commitment from the pensions administration team during 2022.

The expectation on funds to invest sustainably and within environmental, social and governance initiatives is increasing with many funds setting net carbon zero targets.

Sector-wide issues

The Department for Levelling Up, Housing and Communities (DLUHC) state their intention, subject to consultation, to introduce secondary legislation to extend the deadline for publishing audited local authority accounts to 30 November 2022 for the 2021/22 accounts. The consultation runs from 6-20 May with the intention of making these changes by UK Parliament's summer recess.

CIPFA has set up an urgent task and finish group to consider a sector-wide issue in the accounting for infrastructure assets, with a view to produce a bulletin and possible amendments to the accounting code in accordance with a published timetable which runs to June 2022.

CIPFA has issued a formal decision to defer the implementation of the IFRS 16 – Leases accounting standard until 1 April 2024. However both the 2022/23 and 2023/24 accounting codes will allow for early adoption as of 1 April 2022 or 2023.

Our response

- As a firm, we are absolutely committed to audit quality and financial reporting in the local government sector. Our proposed work and fee is set further on page 18,
- We will consider your arrangements for managing and reporting your financial resources as part of our work in completing our Value for Money (VfM) work.
- As part of our assessment of the Council's arrangements for securing Value for Money in 2020/21, we identified a small number of improvement recommendations. These were set out in our Annual Auditor's Report which was presented to the April 2022 Governance and Ethics Committee. We will follow up progress against those recommendations as part of our 2021/22 VfM work and report progress in our 2021/22 Annual Auditor's Report.

Introduction and headlines

Purpose

This document provides an overview of the planned scope and timing of the statutory audit of Nottinghamshire County Council ('the Council') and Nottinghamshire Pension Fund ('the Pension Fund') for those charged with governance.

Respective responsibilities

The National Audit Office ('the NAO') has issued a document entitled Code of Audit Practice ('the Code'). This summarises where the responsibilities of auditors begin and end and what is expected from the audited body. Our respective responsibilities are also set out and agreed in the Terms of Appointment and Statement of Responsibilities issued by Public Sector Audit Appointments (PSAA), the body responsible for appointing us as auditor of Nottinghamshire County Council and Nottinghamshire Pension Fund. We draw your attention to both of these documents.

Scope of our audit

The scope of our audit is set in accordance with the Code and International Standards on Auditing (ISAs) (UK). We are responsible for

- forming and expressing an opinion on the Council and Pension Fund's financial statements that have been prepared by management with the oversight of those charged with governance (the Governance and Ethics committee); and
- considering whether there are sufficient arrangements in place at the Council for securing economy, efficiency and effectiveness in your use of resources. Value for money relates to ensuring that resources are used efficiently to maximise the outcomes that can be achieved.

The audit of the financial statements does not relieve management or the Governance and Ethics Committee of your responsibilities. It is the responsibility of the Council and Pension Fund to ensure that proper arrangements are in place for the conduct of its business, and that public money is safeguarded and properly accounted for. We have considered how the Council and Pension Fund is fulfilling these responsibilities.

Our audit approach is based on a thorough understanding of the Council and Pension Fund's business, and is risk-based.

Significant risks

Those risks requiring special audit consideration and procedures to address the likelihood of a material financial statement error have been identified as:

County Council

- Management override of controls
- Valuation of land and buildings and investment properties
- Valuation of the net defined benefit pension fund liability

Pension Fund

- Management override of control; and
- Valuation of Level 3 investments

We will communicate significant findings on these areas as well as any other significant matters arising from the audit to you in our Audit Findings (ISA 260) Report.

Materiality

We have determined planning materiality to be £18.5m (prior Year £17.8m) for the Council, which equates to 1.5% of your prior year gross expenditure for the year and £61.3m (prior year £50.0m) for the Pension Fund which equates to 1% of net assets. We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. Clearly trivial has been set at £0.925m (prior year £0.890m) for the Council and £3m (prior year £2.5m).

Value for Money arrangements

Our risk assessment regarding your arrangements to secure value for money have identified the following risks of significant weakness:

- Financial Planning (Medium Term Financial Sustainability)

Audit logistics

Our interim audit took place during March and April 2022 and our final visit will take place between June and October 2022. Our key deliverables are this Audit Plan, our Audit Findings Report and Auditor's Annual Report.

Our fee for the audit will be £133,774 (prior year: £120,124) for the Council and £38,456 (prior year £35,293) for the Pension Fund, subject to delivering a good set of financial statements and working papers.

We have complied with the Financial Reporting Council's Ethical Standard (revised 2019) and we as a firm, and each covered person, confirm that we are independent and are able to express an objective opinion on the financial statements..

Significant risks identified

Significant risks are defined by ISAs (UK) as risks that, in the judgement of the auditor, require special audit consideration. In identifying risks, audit teams consider the nature of the risk, the potential magnitude of misstatement, and its likelihood. Significant risks are those risks that have a higher risk of material misstatement.

Risk	Risk relates to	Reason for risk identification	Key aspects of our proposed response to the risk
Fraud in revenue recognition [rebutted]	Authority and Pension Fund	<p>Under ISA (UK) 240 there is a rebuttable presumed risk that revenue may be misstated due to the improper recognition of revenue. This presumption can be rebutted if the auditor concludes that there is no risk of material misstatement due to fraud relating to revenue recognition.</p> <p>Having considered the risk factors set out in ISA240 and the nature of the revenue streams at the Council and Fund, we have determined that the risk of fraud arising from revenue recognition can be rebutted, because:</p> <ul style="list-style-type: none"> • there is little incentive to manipulate revenue recognition • opportunities to manipulate revenue recognition are very limited • the culture and ethical frameworks of local authorities, including Nottinghamshire County Council and Nottinghamshire Pension Fund, mean that all forms of fraud are seen as unacceptable <p>Therefore we do not consider this to be a significant risk for Nottinghamshire County Council and Nottinghamshire Pension Fund.</p>	We have rebutted this risk.
Fraud in expenditure recognition – Practice Note 10 [rebutted]	Authority and Pension Fund	<p>In line with the Public Audit Forum Practice Note 10, in the public sector auditors must also consider the risk that material misstatements due to fraudulent financial reporting may arise from the manipulation of expenditure recognition (for instance by deferring expenditure to a later period)</p> <p>We have considered this risk for the Council and Pension Fund and have determined it to be appropriate to rebut this risk based on limited incentive and opportunity to manipulate expenditure.</p>	We have rebutted this risk.
Management over-ride of controls	Authority and Pension Fund	<p>Under ISA (UK) 240 there is a non-rebuttable presumed risk that the risk of management over-ride of controls is present in all entities.</p> <p>The Authority faces external scrutiny of its spending and likewise the Fund of its stewardship of funds and this could potentially place management under undue pressure in terms of how they report performance.</p> <p>We therefore identified management override of control, in particular journals, management estimates and transactions outside the course of business as a significant risk, which was one of the most significant risks to material misstatement.</p>	<p>We will:</p> <ul style="list-style-type: none"> • evaluate the design effectiveness of management controls over journals • analyse the journals listing and determine the criteria for selecting high risk unusual journals • test unusual journals recorded during the year and after the draft accounts stage for appropriateness and corroboration • gain an understanding of the accounting estimates and critical judgements applied made by management and consider their reasonableness with regard to corroborative evidence • evaluate the rationale for any changes in accounting policies, estimates or significant unusual transactions.

Significant risks identified (continued)

Risk	Risk relates to	Reason for risk identification	Key aspects of our proposed response to the risk
Valuation of land and buildings, surplus assets and investment property – specifically for assets where valuation movements fall outside of auditor expectation	Authority	<p>The Authority revalues its land and buildings and surplus assets on a rolling five year basis as per its interpretation of the Code. Investment properties are valued on an annual basis in line with the accounting Code.</p> <p>To ensure the five year valuation programme for land & buildings and surplus assets does not lead to material differences in carrying values, the Authority carries out a desktop valuation or requests a desktop valuation from its valuation expert. Valuations represent a significant estimate by management in the financial statements due to the size of the numbers involved and the sensitivity of this estimate to changes in key assumptions.</p> <p>Within the valuation of the Authority's land and buildings and investment properties, the valuer's estimation of the value has several key inputs, which the valuation is sensitive to. For land and buildings, these include but are not limited to build cost indices, the size and location of the building and any judgements that have impacted this assessment and the condition of the buildings. For investment properties, these include yields used in the valuation and estimated future rentals from the investment properties.</p> <p>We therefore have identified that the accuracy of the key inputs and assumptions used in the valuation of land and buildings and investment properties as a significant risk, which was one of the most significant assessed risks of material misstatement.</p>	<p>We will:</p> <ul style="list-style-type: none"> • evaluate management's processes and assumptions for the calculation of the estimate, the instructions issued to valuation experts and the scope of their work • evaluate the competence, capabilities and objectivity of the valuation expert • write to the valuer to confirm the basis on which the valuation was carried out • test revaluations made during the year to see if they had been input correctly into the Authority's asset register • engage our own valuer to assess the instructions to the Authority's valuer, the Authority's valuer's report and the assumptions that underpin the valuation. • evaluate the assumptions made by management for any assets not revalued during the year and how management has satisfied themselves that these are not materially different to current value at year end

Significant risks identified (continued)

Risk	Risk relates to	Reason for risk identification	Key aspects of our proposed response to the risk
Valuation of the net defined benefit pension fund liability- specifically with regard to the appropriateness of assumptions used to determine the valuation	Authority	<p>The Authority's pension fund net liability, as reflected in its balance sheet as the net defined benefit liability, represents a significant estimate in the financial statements.</p> <p>We do not believe there is a significant risk of material misstatement in the IAS 19 estimate due to the methods and models used in their calculation or due to the source data used in their calculation.</p> <p>However, we have concluded that there is a significant risk of material misstatement in the IAS 19 estimate due to the assumptions used in their calculation. The actuarial assumptions used are the responsibility of the entity but should be set on the advice given by the actuary. As noted above, the appropriateness of the assumptions proposed by the actuary is covered by the TAS actuarial standards. However, the Council may choose to use different assumptions than those proposed by their actuary. A small change in the key assumptions (discount rate, inflation rate, salary increase and life expectancy) can have a significant impact on the estimated IAS 19 liability. In particular the discount and inflation rates, where our consulting actuary has indicated that a 0.1% change in these two assumptions would have approximately 2% effect on the liability.</p> <p>We therefore identified the assumptions used to determine the valuation of the Authority's pension fund net liability as a significant risk.</p>	<p>We will:</p> <ul style="list-style-type: none"> • update our understanding of the processes and controls put in place by management to ensure that the Authority's pension fund net liability is not materially misstated and evaluate the design of the associated controls; • evaluate the instructions issued by management to their management expert (an actuary) for this estimate and the scope of the actuary's work; • assess the competence, capabilities and objectivity of the actuary who carried out the Authority's pension fund valuation; • assess the accuracy and completeness of the information provided by the Authority to the actuary to estimate the liability; • test the consistency of the pension fund asset and liability and disclosures in the notes to the core financial statements with the actuarial report from the actuary; • undertake procedures to confirm the reasonableness of the actuarial assumptions made by reviewing the report of the consulting actuary (as auditor's expert) and performing any additional procedures suggested within the report; • agree any advance payments made to the pension fund during the year to the expected accounting treatment and relevant financial disclosures.; and • obtain assurances from the audit of Nottinghamshire Pension Fund as to the controls surrounding the validity and accuracy of membership data; contributions data and benefits data sent to the actuary by the pension fund and the fund assets valuation in the pension fund financial statements.

Significant risks identified (continued)

Risk	Risk relates to	Reason for risk identification	Key aspects of our proposed response to the risk
Valuation of Level 3 Investments (financial investments and Directly held properties)	Pension Fund only	<p>The Fund revalues its investments on an annual basis to ensure that the carrying value is not materially different from the fair value at the financial statements date.</p> <p>By their nature Level 3 investment valuations lack observable inputs. These valuations therefore represent a significant estimate by management in the financial statements due to the size of the numbers involved and the sensitivity of this estimate to changes in key assumptions</p> <p>Under ISA 315 significant risks often relate to significant non-routine transactions and judgemental matters. Level 3 investments by their very nature require a significant degree of judgement to reach an appropriate valuation at year end.</p> <p>Management utilise the services of investment managers as valuation experts to estimate the fair value as at 31 March 2022. We therefore identified valuation of Level 3 investments as a significant risk.</p>	<p>Our audit procedures on level 3 investments have been set out below according to the nature of the investment. Financial investments cover investments the fund hold in private unlisted equity while directly held property relates to investments in freehold and leasehold property.</p> <p>For financial investment we will:</p> <ul style="list-style-type: none"> • evaluate management's processes for valuing Level 3 investments • review the nature and basis of estimated values and consider what assurance management has over the year end valuations provided for these types of investments; to ensure that the requirements of the Code are met • independently request year-end confirmations from investment managers and/or custodian(s) • for a sample of investments, test the valuation by obtaining and reviewing the audited accounts, (where available) at the latest date for individual investments and agreeing these to the fund manager reports at that date. Reconcile those values to the values at 31 March 2022 with reference to known movements in the intervening period and • in the absence of available audited accounts, we will evaluate the competence, capabilities and objectivity of the valuation expert • test revaluations made during the year to see if they had been input correctly into the Pension Fund's asset register • where available review investment manager service auditor report on design effectiveness of internal controls. <p>For directly held property we will:</p> <ul style="list-style-type: none"> • evaluate management's processes and assumptions for the calculation of the estimate, the instructions issued to valuation experts and the scope of their work • evaluate the competence, capabilities and objectivity of the valuation expert • write to the valuer to confirm the basis on which the valuation was carried out • test revaluations made during the year to see if they had been input correctly into the Pension Fund's asset register • engage our own valuer to assess the instructions to the Pension Fund's valuer, the Pension Fund's valuer's report and the assumptions that underpin the valuation. • evaluate the assumptions made by management for any assets not revalued during the year and how management has satisfied themselves that these are not materially different to current value at year end • Test property assets for rights and obligations and for existence

Other risks identified

Risk	Risk relates to	Reason for risk identification	Key aspects of our proposed response to the risk
Value of Infrastructure assets and the presentation of the gross cost and accumulated depreciation in the PPE note	Council	<p>Infrastructure assets include roads, bridges, highways and streetlighting. Each year the Council spends circa £35m on Infrastructure capital additions. As at 31 March 2021, the net book value of infrastructure assets was £599m which is over 32 times materiality.</p> <p>In accordance with the LG Code, Infrastructure assets are measured using the historical cost basis, and carried at depreciated historical cost. With respect to the financial statements, there are two risks which we plan to address:</p> <p>The risk that the value of infrastructure assets is materially misstated as a result of applying an inappropriate Useful Economic Life (UEL) to components of infrastructure assets.</p> <p>The risk that the presentation of the PPE note is materially misstated insofar as the gross cost and accumulated depreciation of Infrastructure assets is overstated. It will be overstated if management do not derecognise components of Infrastructure when they are replaced.</p> <p>These two risks have not been assessed as a significant risk at this stage, but we have assessed that there is some risk of material misstatement that requires an audit response.</p>	<p>We will:</p> <ul style="list-style-type: none"> reconcile the Fixed Asset Register to the Financial statements using our own point estimate, consider the reasonableness of depreciation charge to Infrastructure assets obtain assurance that the UEL applied to Infrastructure assets is reasonable document our understanding of management's process for derecognising Infrastructure assets on replacement and obtain assurances that the disclosure in the PPE note is not materially misstated.

We will communicate significant findings on these areas as well as any other significant matters arising from the audit to you in our Audit Findings Report.

Accounting estimates and related disclosures

The Financial Reporting Council issued an updated ISA (UK) 540 (revised): *Auditing Accounting Estimates and Related Disclosures* which includes significant enhancements in respect of the audit risk assessment process for accounting estimates.

Introduction

Under ISA (UK) 540 (Revised December 2018) auditors are required to understand and assess an entity's internal controls over accounting estimates, including:

- The nature and extent of oversight and governance over management's financial reporting process relevant to accounting estimates;
- How management identifies the need for and applies specialised skills or knowledge related to accounting estimates;
- How the entity's risk management process identifies and addresses risks relating to accounting estimates;
- The entity's information system as it relates to accounting estimates;
- The entity's control activities in relation to accounting estimates; and
- How management reviews the outcomes of previous accounting estimates.

As part of this process auditors also need to obtain an understanding of the role of those charged with governance, which is particularly important where the estimates have high estimation uncertainty, or require significant judgement.

Specifically do Governance and Ethics Committee members:

- Understand the characteristics of the methods and models used to make the accounting estimates and the risks related to them;
- Oversee management's process for making accounting estimates, including the use of models, and the monitoring activities undertaken by management; and
- Evaluate how management made the accounting estimates?



Accounting estimates and related disclosures

Additional information that will be required

To ensure our compliance with this revised auditing standard, we will be requesting further information from management and those charged with governance during our audit for the year ended 31 March 2022.

Based on our knowledge of the Council and Pension Fund we have identified the following material accounting estimates for which this is likely to apply:

- Valuations of land and buildings, surplus assets and investment properties
- Depreciation
- Year end provisions and accruals
- Credit loss and impairment allowances
- Valuation of defined benefit net pension fund liabilities
- Fair value estimates
- Valuation of level 2 and level 3 investments

The Council's Information systems

In respect of the Council and Pension Fund's information systems we are required to consider how management identifies the methods, assumptions and source data used for each material accounting estimate and the need for any changes to these. This includes how management selects, or designs, the methods, assumptions and data to be used and applies the methods used in the valuations.

When the models used include increased complexity or subjectivity, as is the case for many valuation models, auditors need to understand and assess the controls in place over the models and the data included therein. Where adequate controls are not in place we may need to report this as a significant control deficiency and this could affect the amount of detailed substantive testing required during the audit.

If management has changed the method for making an accounting estimate we will need to fully understand management's rationale for this change. Any unexpected changes are likely to raise the audit risk profile of this accounting estimate and may result in the need for additional audit procedures.

We are aware that the Council and Pension Fund uses management experts in deriving some of its more complex estimates, e.g. asset valuations and pensions liabilities. However, it is important to note that the use of management experts does not diminish the responsibilities of management and those charged with governance to ensure that:

- All accounting estimates and related disclosures included in the financial statements have been prepared in accordance with the requirements of the financial reporting framework, and are materially accurate;
- There are adequate controls in place at the Council and Pension Fund (and where applicable its service provider or management expert) over the models, assumptions and source data used in the preparation of accounting estimates.



Estimation uncertainty

Under ISA (UK) 540 we are required to consider the following:

- How management understands the degree of estimation uncertainty related to each accounting estimate; and
- How management address this estimation uncertainty when selecting their point estimate.

For example, how management identified and considered alternative, methods, assumptions or source data that would be equally valid under the financial reporting framework, and why these alternatives were rejected in favour of the point estimate used.

The revised standard includes increased emphasis on the importance of the financial statement disclosures. Under ISA (UK) 540 (Revised December 2018), auditors are required to assess whether both the accounting estimates themselves and the related disclosures are reasonable.

Where there is a material uncertainty, that is where there is a significant risk of a material change to the estimated carrying value of an asset or liability within the next year, there needs to be additional disclosures. Note that not all material estimates will have a material uncertainty and it is also possible that an estimate that is not material could have a risk of material uncertainty.

Where there is material estimation uncertainty, we would expect the financial statement disclosures to detail:

- What the assumptions and uncertainties are;
- How sensitive the assets and liabilities are to those assumptions, and why;
- The expected resolution of the uncertainty and the range of reasonably possible outcomes for the next financial year; and
- An explanation of any changes made to past assumptions if the uncertainty is unresolved.

Planning enquiries

As part of our planning risk assessment procedures we made enquiries of management which were presented to the Governance and Ethics Committee in April 2022 in a separate document named 'Informing the Audit Risk Assessment'. Members of the Committee were required to consider these responses and confirm that they are consistent with their understanding.

Further information

Further details on the requirements of ISA (UK) 540 (Revised December 2018) can be found in the auditing standard on the Financial Reporting Council's website:

[https://www.frc.org.uk/getattachment/0fa69c03-49ec-49ae-a8c9-cc7a2b65382a/ISA-\(UK\)-540-Revised-December-2018-final.pdf](https://www.frc.org.uk/getattachment/0fa69c03-49ec-49ae-a8c9-cc7a2b65382a/ISA-(UK)-540-Revised-December-2018-final.pdf)

Other matters

Other work

In addition to our responsibilities under the Code of Practice, we have a number of other audit responsibilities, as follows:

- We read your Narrative Report and Annual Governance Statement to check that they are consistent with the financial statements on which we give an opinion and our knowledge of the Council.
- We carry out work to satisfy ourselves that disclosures made in your Annual Governance Statement are in line with requirements set by CIPFA.
- We carry out work on your consolidation schedules for the Whole of Government Accounts process in accordance with NAO group audit instructions.
- We consider our other duties under legislation and the Code, as and when required, including:
 - giving electors the opportunity to raise questions about your 2021/22 financial statements, consider and decide upon any objections received in relation to the 2021/22 financial statements;
 - issuing a report in the public interest or written recommendations to the Council under section 24 of the Local Audit and Accountability Act 2014 (the Act).
 - application to the court for a declaration that an item of account is contrary to law under section 28 or a judicial review under section 31 of the Act
 - issuing an advisory notice under section 29 of the Act
- We carry out work to satisfy ourselves on the consistency of the pension fund financial statements included in the pension fund annual report with the audited fund accounts.
- We certify completion of our audit.

Other material balances and transactions

Under International Standards on Auditing, "irrespective of the assessed risks of material misstatement, the auditor shall design and perform substantive procedures for each material class of transactions, account balance and disclosure". All other material balances and transaction streams will therefore be audited. However, the procedures will not be as extensive as the procedures adopted for the risks identified in this report.

Materiality

The concept of materiality

Materiality is fundamental to the preparation of the financial statements and the audit process and applies not only to the monetary misstatements but also to disclosure requirements and adherence to acceptable accounting practice and applicable law. Misstatements, including omissions, are considered to be material if they, individually or in the aggregate, could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

Materiality for planning purposes

We have determined financial statement materiality based on a proportion of the gross expenditure of the Council and a proportion of net assets of the Pension Fund based on the prior financial year. In the prior year we used the same benchmarks. Materiality at the planning stage of our audit is £18.5m (PY £17.8m) for the Council, which equates to 1.5% of your gross expenditure for the prior year and £61.2m (PY £50.0m) for the Pension Fund, which equates to 1% of your net assets for the prior year. We design our procedures to detect errors in specific accounts at a lower level of precision which we have determined to be £20k for senior officer remuneration due to public interest in this area of the accounts.

We reconsider planning materiality if, during the course of our audit engagement, we become aware of facts and circumstances that would have caused us to make a different determination of planning materiality.

Matters we will report to the Governance and Ethics Committee

Whilst our audit procedures are designed to identify misstatements which are material to our opinion on the financial statements as a whole, we nevertheless report to the Governance and Ethics Committee any unadjusted misstatements of lesser amounts to the extent that these are identified by our audit work. Under ISA 260 (UK) 'Communication with those charged with governance', we are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. ISA 260 (UK) defines 'clearly trivial' as matters that are clearly inconsequential, whether taken individually or in aggregate and whether judged by any quantitative or qualitative criteria. In the context of the Council and Pension Fund, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £0.925m (PY £0.890m) for the Council and £3m (PY £2.70m) for the Pension Fund.

If management have corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the Governance and Ethics Committee to assist it in fulfilling its governance responsibilities.

Prior year gross operating costs/ net assets

£1,233m Council

£6,132m Pension Fund



■ Prior year gross operating costs and net assets

Materiality

£18.5m

Council financial statements materiality
(PY: £17.8m)

£61.2m

Pension Fund financial statements materiality
(PY: £50.0m)

£0.925m

Council Misstatements reported to the G&E Committee
(PY: £0.89m)

£3m

Pension Fund misstatements reported to the Governance and Committee
(PY: £2.7m)

IT audit strategy

In accordance with ISA (UK) 315, we are required to obtain an understanding of the information systems relevant to financial reporting to identify and assess the risks of material misstatement. As part of this we obtain an understanding of the controls operating over relevant Information Technology (IT) systems i.e. IT general controls (ITGCs).

Our audit will include completing an assessment of the design of ITGCs related to security management; technology acquisition, development and maintenance; and technology infrastructure. Based on the level of assurance required for each IT system the assessment may focus on evaluating key risk areas ('streamlined assessment') or be more in depth ('detailed assessment').

The following IT systems have been judged to be in scope for our audit and based on the planned financial statement audit approach we will perform the indicated level of assessment:

IT system	Audit area	Planned level IT audit assessment
SAP	Financial reporting (Council and Pension Fund)	<ul style="list-style-type: none"> Roll-forward procedures linked to prior year detailed ITGC assessment and testing of previously reported control deficiencies upon which management action has been taken.
Altair	(Pension Fund)	<ul style="list-style-type: none"> Streamlined ITGC assessment

Value for Money arrangements

Approach to Value for Money work for 2021/22

The National Audit Office (NAO) issued updated guidance for auditors in April 2020. The Code requires auditors to consider whether the body has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources. When reporting on these arrangements, the Code requires auditors to structure their commentary on arrangements under three specified reporting criteria. These are as set out below:



Improving economy, efficiency and effectiveness

Arrangements for improving the way the body delivers its services. This includes arrangements for understanding costs and delivering efficiencies and improving outcomes for service users.



Financial Sustainability

Arrangements for ensuring the body can continue to deliver services. This includes planning resources to ensure adequate finances and maintain sustainable levels of spending over the medium term (3-5 years)



Governance

Arrangements for ensuring that the body makes appropriate decisions in the right way. This includes arrangements for budget setting and management, risk management, and ensuring the body makes decisions based on appropriate information



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Risks of significant VFM weaknesses

As part of our planning work, we considered whether there were any risks of significant weakness in the Council's arrangements for securing economy, efficiency and effectiveness in its use of resources that we needed to perform further procedures on. The risks we have identified are detailed in the first table below, along with the further procedures we will perform. Our risk assessment is an ongoing process and we may identify further risks to those outlined below during the course of the audit. Any further risks will be reported in our Audit Findings Report and finally in the Annual Auditor's Report. We may need to make recommendations following the completion of our work. The potential different types of recommendations we could make are set out in the second table below.

Risks of significant weakness

Those risks requiring audit consideration and procedures to address the likelihood that proper arrangements are not in place at the body to deliver value for money.



Financial Planning (Medium Term Financial Sustainability)

Although the council expects to have sufficient resources in the immediate term (FY2022/23), it has identified a need to deliver significant year on year savings to achieve a balanced budget in the medium term. The council has identified estimated savings requirements of £29.1m from 2023-2036. There remain significant uncertainties in the position going forward, due to uncertainty over future funding decisions and the performance of the wider economy and market factors - the Council's plans for medium term financial sustainability need to remain flexible and be robust.

Our responses to this risk:

- To document an understanding of the arrangements the body has in place in respect of financial sustainability
- To make an assessment of those arrangements
- To gather sufficient evidence to support the commentary on the body's arrangements in the Auditor's Annual Report
- To identify any further risks of significant weaknesses in arrangements that weren't identified at the initial planning stage
- To draft the commentary to be included in the Auditor's Annual Report

Potential types of recommendations

A range of different recommendations could be made following the completion of work on risks of significant weakness, as follows:



Statutory recommendation

Written recommendations to the body under Section 24 (Schedule 7) of the Local Audit and Accountability Act 2014. A recommendation under schedule 7 requires the body to discuss and respond publicly to the report.



Key recommendation

The Code of Audit Practice requires that where auditors identify significant weaknesses in arrangements to secure value for money they should make recommendations setting out the actions that should be taken by the body. We have defined these recommendations as 'key recommendations'.



Improvement recommendation

These recommendations, if implemented should improve the arrangements in place at the body, but are not made as a result of identifying significant weaknesses in the body's arrangements

Audit logistics and team



Andrew Smith, Key Audit Partner

Andrew will be the main point of contact for the Chair, Service Director and Committee members. He will share his wealth of knowledge and experience across the sector providing challenge and sharing good practice. Andrew will ensure our audit is tailored specifically to you, and he is responsible for the overall quality of our audit. Andrew will sign your audit opinion.



Jim McLarnon, Senior Audit Manager

Pension Fund



Zak Francis, Audit Manager

County Council



Ellie West, Audit In-charge

County Council and Pension Fund

Audited body responsibilities

Where audited bodies do not deliver to the timetable agreed, we need to ensure that this does not impact on audit quality or absorb a disproportionate amount of time, thereby disadvantaging other audits. Where the elapsed time to complete an audit exceeds that agreed due to a client not meeting its obligations we will not be able to maintain a team on site. Similarly, where additional resources are needed to complete the audit due to a client not meeting their obligations we are not able to guarantee the delivery of the audit to the agreed timescales. In addition, delayed audits will incur additional audit fees.

Our requirements

To minimise the risk of a delayed audit, you need to ensure that you:

- produce draft financial statements of good quality by the agreed timetable you have agreed with us, including all notes, the Narrative Report and the Annual Governance Statement
- ensure that good quality working papers are available at the start of the audit, in accordance with the working paper requirements schedule that we have shared with you
- ensure that the agreed data reports are available to us at the start of the audit and are reconciled to the values in the accounts, in order to facilitate our selection of items for testing
- ensure that all appropriate staff are available on site throughout (or as otherwise agreed) the planned period of the audit
- respond promptly and adequately to audit queries.

Audit fees

In 2018, PSAA awarded a contract of audit Nottinghamshire County Council and Nottinghamshire Pension Fund to begin with effect from 2018/19. The fee agreed in the contract was £75,624 for the Council and £23,043 for the Pension Fund. Since that time, there have been a number of developments, particularly in relation to the revised Code and ISA's which are relevant for the 2021/22 audit and the revised approach to our VFM work as required by the National Audit Office which took effect from 2020/21.

Across all sectors and firms, the FRC has set out its expectation of improved financial reporting from organisations and the need for auditors to demonstrate increased scepticism and challenge and to undertake additional and more robust testing, in relation to the updated ISA (UK) 540 (revised): Auditing Accounting Estimates and Related Disclosures.

As a firm, we are absolutely committed to meeting the expectations of the FRC with regard to audit quality and public sector financial reporting. We have engaged an audit expert to improve the level of assurance we require for property valuation estimates, which has been included in our proposed audit fee.] Our proposed work and fee for 2021/22, as set out below, is detailed overleaf and has been agreed with the Service Director – Finance, Procurement and Improvement.

	Actual Fee 2019/20	Actual Fee 2020/21	Proposed fee 2021/22
Nottinghamshire County Council Audit	£104,200	£120,124	£133,774*
Nottinghamshire Pension Fund Audit	£31,400	£35,293	£38,456*
Total audit fees (excluding VAT)	£135,600	£155,417	£172,230

*The proposed audit fee for 2021/22 includes an estimated recharge of £7,500 for the Council and £2,500 for the Pension Fund for additional costs related to remote working. Remote working impacts on the work we do and results in increases to our inputs and in the time it takes to complete an audit. Under the prevailing government advice, it will be the Council and Pension Fund's choice whether the audits are carried out remotely. These additional fees would only be applicable if the Council and Pension Fund choose to carry out the audit engagements remotely. The amounts quoted are an estimate of the cost and we will revisit this estimate when the audit has been completed. At the time of this report, the finance team have indicated that a remote audit will not be necessary and therefore these elements of the fees are expected to be waived.

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Assumptions

In setting these fees, we have assumed that the Council and Pension Fund will:

- prepare a good quality set of financial statements, supported by comprehensive and well-presented working papers which are ready at the start of the audit
- provide appropriate analysis, support and evidence to support all critical judgements and significant judgements made during the course of preparing the financial statements
- provide early notice of proposed complex or unusual transactions which could have a material impact on the financial statements.

Relevant professional standards

In preparing our fee estimate, we have had regard to all relevant professional standards, including paragraphs 4.1 and 4.2 of the FRC's [Ethical Standard \(revised 2019\)](#) which stipulate that the Engagement Lead (Key Audit Partner) must set a fee sufficient to enable the resourcing of the audit with partners and staff with appropriate time and skill to deliver an audit to the required professional and Ethical standards.

Independence and non-audit services

Auditor independence

Ethical Standards and ISA (UK) 260 require us to give you timely disclosure of all significant facts and matters that may bear upon the integrity, objectivity and independence of the firm or covered persons, relating to our independence. We encourage you to contact us to discuss these or any other independence issues with us. We will also discuss with you if we make additional significant judgements surrounding independence matters.

We confirm that there are no significant facts or matters that impact on our independence as auditors that we are required or wish to draw to your attention. We have complied with the Financial Reporting Council's Ethical Standard (Revised 2019) and we as a firm, and each covered person, confirm that we are independent and are able to express an objective opinion on the financial statements. Further, we have complied with the requirements of the National Audit Office's Auditor Guidance Note 01 issued in May 2020 which sets out supplementary guidance on ethical requirements for auditors of local public bodies.

We confirm that we have implemented policies and procedures to meet the requirements of the Ethical Standard. For the purposes of our audit we have made enquiries of all Grant Thornton UK LLP teams providing services to the Council and Pension Fund.

Other services

Other services provided by Grant Thornton were identified and are set out overleaf.

The amounts detailed are fees agreed to-date for audit related and non-audit services to be undertaken by Grant Thornton UK LLP in the current financial year. These services are consistent with the Council's policy on the allotment of non-audit work to your auditors. Any changes and full details of all fees charged for audit related and non-audit related services by Grant Thornton UK LLP and by Grant Thornton International Limited network member Firms will be included in our Audit Findings report at the conclusion of the audit.

None of the services provided are subject to contingent fees.

Independence and non-audit services

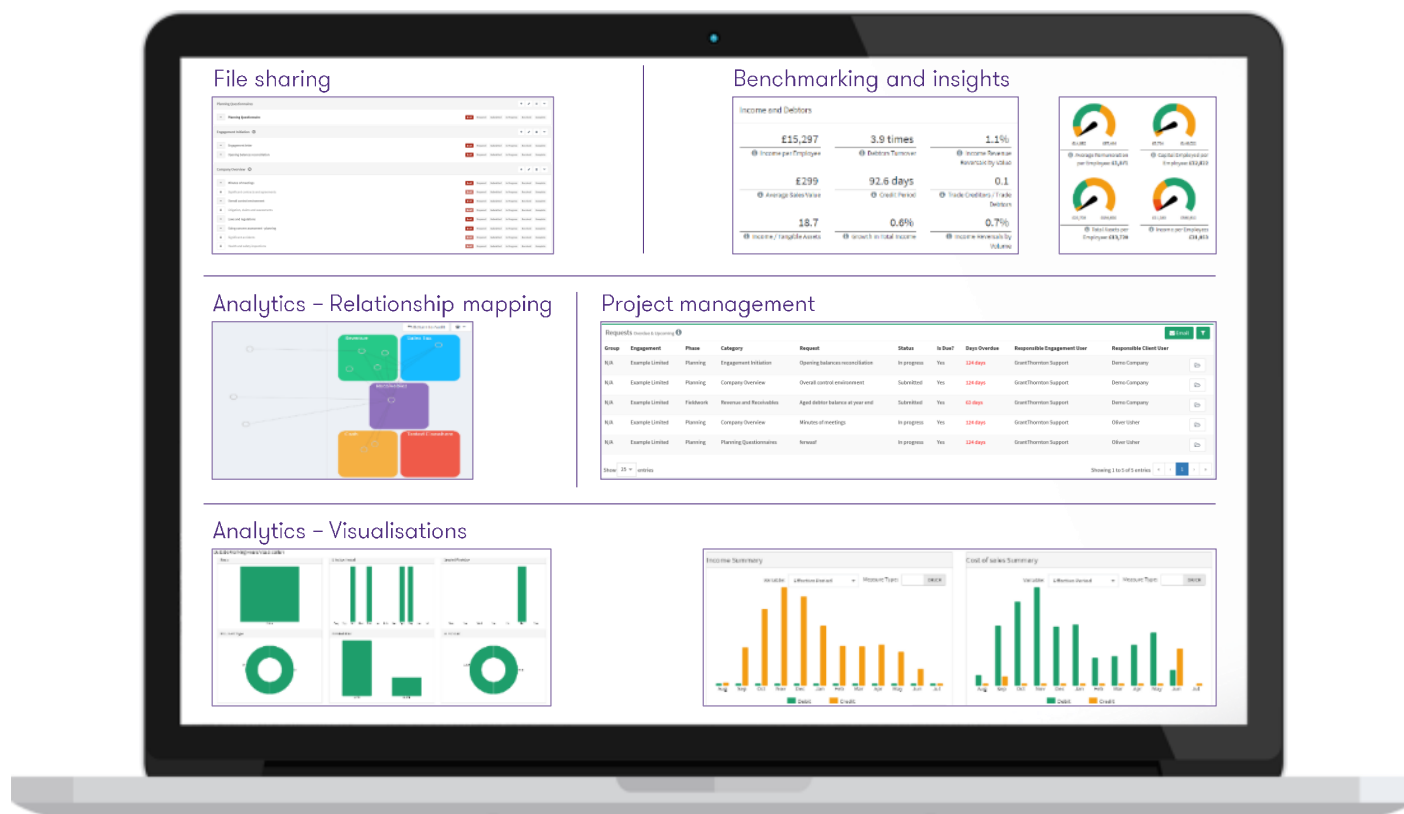
Nottinghamshire County Council

Service	Fees £	Threats	Safeguards
Audit related			
Certification of Teachers' Pensions return (County Council)	7,500	Self Interest	The level of this recurring fee taken on its own is not considered a significant threat to independence as the fee for this work is £7,500 in comparison to the total fee for the audit of £133,774 and in particular relative to Grant Thornton UK LLP's turnover overall. Further, it is a fixed fee and there is no contingent element to it. These factors all mitigate the perceived self-interest threat to an acceptable level.
		Self review	We have not prepared the form which we review and do not expect material misstatements to the financial statements to arise from this service.
		Management	Changes to the return and the factual accuracy of our report will be agreed with informed management.
IAS19 Assurance letters for Admitted Bodies (Pension Fund)	8,750	Self-Interest	The level of this recurring fee taken on its own is not considered a significant threat to independence as the fee for this work is £8,750 in comparison to the total fee for the audit of £31,060 and in particular relative to Grant Thornton UK LLP's turnover overall. Further, it is a fixed fee and there is no contingent element to it. These factors all mitigate the perceived self-interest threat to an acceptable level.
Non-audit related			
CFO Insights subscription (County Council)	16,000	Self-Interest	<p>The Council renewed its subscription to CFO insights for 12 months from July 2021. The cost of the service over the 12 month term is £16,000. Brought forward fees at that time relating to the previous subscription were £4,000.</p> <p>The level of this recurring fee taken on its own is not considered a significant threat to independence as the fee for this work in comparison to the total fee for the audit of £133,774 and in particular relative to Grant Thornton UK LLP's turnover overall. Further, it is a fixed fee and there is no contingent element to it. These factors all mitigate the perceived self-interest threat to an acceptable level.</p>

Our digital audit experience

A key component of our overall audit experience is our comprehensive data analytics tool, which is supported by Inflo Software technology. This tool has a number of key functions within our audit process:

Function	Benefits for you
Data extraction	Providing us with your financial information is made easier
File sharing	An easy-to-use, ISO 27001 certified, purpose-built file sharing tool
Project management	Effective management and oversight of requests and responsibilities
Data analytics	Enhanced assurance from access to complete data populations



Grant Thornton's Analytics solution is supported by Inflo Software technology

Our digital audit experience

A key component of our overall audit experience is our comprehensive data analytics tool, which is supported by Inflo Software technology. This tool has a number of key functions within our audit process:



Data extraction

- Real-time access to data
- Easy step-by-step guides to support you upload your data



File sharing

- Task-based ISO 27001 certified file sharing space, ensuring requests for each task are easy to follow
- Ability to communicate in the tool, ensuring all team members have visibility on discussions about your audit, reducing duplication of work



Project management

- Facilitates oversight of requests
- Access to a live request list at all times



Data analytics

- Relationship mapping, allowing understanding of whole cycles to be obtained quickly
- Visualisation of transactions, allowing easy identification of trends and anomalies

How will analytics add value to your audit?

Analytics will add value to your audit in a number of ways. We see the key benefits of extensive use of data analytics within the audit process to be the following:

Improved fraud procedures using powerful anomaly detection

Being able to analyse every accounting transaction across your organisation enhances our fraud procedures. We can immediately identify high risk transactions, focusing our work on these to provide greater assurance to you, and other stakeholders.

Examples of anomaly detection include analysis of user activity, which may highlight inappropriate access permissions, and reviewing seldom used accounts, which could identify efficiencies through reducing unnecessary codes and therefore unnecessary internal maintenance.

Another product of this is identification of issues that are not specific to individual postings, such as training requirements being identified for members of staff with high error rates, or who are relying on use of suspense accounts.

More time for you to perform the day job

Providing all this additional value does not require additional input from you or your team. In fact, less of your time is required to prepare information for the audit and to provide supporting information to us.

Complete extracts from your general ledger will be obtained from the data provided to us and requests will therefore be reduced.

We provide transparent project management, allowing us to seamlessly collaborate with each other to complete the audit on time and around other commitments.

We will both have access to a dashboard which provides a real-time overview of audit progress, down to individual information items we need from each other. Tasks can easily be allocated across your team to ensure roles and responsibilities are well defined.

Using filters, you and your team will quickly be able to identify actions required, meaning any issues can be flagged earlier in the process. Accessible through any browser, the audit status is always available on any device providing you with the information to work flexibly around your other commitments.

Appendix 1: Progress against prior year audit recommendations

We identified the following issues in our 2020/21 audit of the Council and Pension Fund's financial statements, which resulted in seven recommendations being reported in our 2020/21 Audit Findings Report. An update on our progress and our planned procedures in relation to these recommendations is included in the table below.

Issue and risk previously communicated	Issue relates to	Update on actions taken to address the issue	Planned audit response
Journals controls- self authorisation The finance system allowed journals to be posted and approved by the same user. This acts as an enabler for fraudulent financial misreporting and error. We found that the Council and Pension Fund had a mitigating control in place, in that all such self-approved journals undergo retrospective approval. The control was found not to be operating effectively for four journals posted during 2020/21.	County Council and Pension Fund	Management have reported that they have introduced a more robust monthly process to capture any retrospective authorisations that may be required.	We will: <ul style="list-style-type: none"> Update our understanding of the controls in place around journal self-authorisation Risk-assess the full population of journals transactions and test all high risk journals.
Journals controls- senior officers Senior officers have access privileges built into the finance system which allow them to be able to post journals. As senior officers, this privilege is considered to be incompatible with role, and is an enabler of management override of control.	County Council and Pension Fund	Two senior officers have access to post journals – the Section 151 Officer and the Deputy 151 Officer. Management have reported there have been no postings by either for a number of years and propose that their access continues to provide system resilience in the event that other officers are not available to post journals. To assure external audit that senior officers have not over-ridden controls, a report can be produced to show any journals that have been posted by the two senior officers.	We will: <ul style="list-style-type: none"> Test any journals posted by senior officers during the year to confirm the validity of any such transactions.

Appendix 1: Progress against prior year audit recommendations (continued)

Issue and risk previously communicated	Issue relates to	Update on actions taken to address the issue	Planned audit response
Payable and Receivable reports Reports provided to audit for payable and receivable sample selection were transaction listings rather than listings of balances owing/ owed at the year end. This led to significant additional time expended to select an appropriate sample and to obtain sufficient and appropriate assurance over these material balances.	County Council	The audit team have met with the Council's system accountants and explained the reports required to support the audit process.	We will provide IT specialists who will endeavour to assist the Council in extracting the required reports for the 2021/22 audit.
IT system control deficiencies We identified a number of control issues in security and access of NCC's SAP system. These weaknesses include <ul style="list-style-type: none"> • SAP Support staff and vendors with DEBUG access • SAP developers with access to modify the ledgers • Change developer and implementation segregation of duties conflicts • Inadequate password security for SAP; and • IT security policies not acknowledges by staff 	County Council and Pension Fund	The matters identified relate to IT systems but not specifically the financial reporting process. Our substantive approach to audit mitigated any risks that would arise from the findings. However the controls around access and segregation are intrinsic to the integrity of the system and should be addressed. Management reported that the findings were addressed during the 2021/22 year.	We will: <ul style="list-style-type: none"> • Review the actions taken by management to address the IT findings • Test the effectiveness of the controls now in place.

Appendix 1: Progress against prior year audit recommendations (continued)

Issue and risk previously communicated	Issue relates to	Update on actions taken to address the issue	Planned audit response
Controls reports, bridging letters and audited financial statements <p>Consistent with the prior period we have identified a deficiency in regard to lack of controls reports at certain fund managers and/ or no bridging letter. The value of investments of which we were unable to obtain a controls report is £114.6m and as we understand, the Pension Fund do not perform any alternative procedures to gain assurance that controls and processes are designed effectively at these funds. Similarly, we were unable to obtain audited financial statements for one fund.</p>	Pension Fund	Management will seek to obtain controls reports, bridging letters and audited financial statements for all major investments.	We will assess information received as part of our response to risks at the audit fieldwork stage. Any gaps in information will be considered and alternative procedures performed to obtain reasonable assurance where necessary.
Investment property <p>We note from our review of the valuation of directly held property that one property in Essex was not revalued at the period end, but rather at 31 December 2020. Management have not performed any additional procedures to consider the movement in value of this asset within the final quarter to the period end.</p>	Pension Fund	The property in question which was not revalued as at the year end date will be included in the external managers valuations for 31 March 2022.	No impact noted, we will incorporate this valuation into our review of directly held property.
Membership data – starters and leavers testing <p>As a result of testing performed on starters and leavers to the fund, we identified one starter that was incorrectly set up in the system under the wrong employer. We therefore extended our testing to cover a further 10 starters and identified one issue whereby a starter was missing a membership certificate as this was due to be issued however the employee subsequently left and therefore this was deemed unnecessary.</p>	Pension Fund	The Pensions Administration service has undertaken a member wide data audit and improvement project as part of its transformation programme. There has also been a move from annual to monthly membership data returns which will ensure information is received in a timely manner.	We will assess the completeness and accuracy of member data as part of our substantive procedures in regard to contributions and benefits payable of the fund.

Appendix 2: Significant improvements from the Financial Reporting Council's (FRC) quality inspection

On 29 October, the FRC published its annual report setting out the findings of its review of the work of local auditors. The report summarises the results of the FRC's inspections of twenty audit files for the last financial year. A link to the report is here: [FRC AQR Major Local Audits October 2021](#)

Grant Thornton are one of seven firms which currently delivers local audit work. Of our 330 local government and NHS audits, 87 are currently defined as 'major audits' which fall within the scope of the AQR. This year, the FRC looked at nine of our audits.

Our file review results

The FRC reviewed nine of our audits this year. It graded six files (67%) as 'Good' and requiring no more than limited improvements. No files were graded as requiring significant improvement, representing an impressive year-on-year improvement. The FRC described the improvement in our audit quality as an 'encouraging response by the firm to the quality findings reported in the prior year.' Our Value for Money work continues to be delivered to a high standard, with all of the files reviewed requiring no more than limited improvement. We welcome the FRC findings and conclusions which demonstrate the impressive improvement we have made in audit quality over the past year.

The FRC also identified a number of good practices including effective challenge of management's valuer, use of an auditor's expert to assist with the audit of a highly specialised property valuation, and the extent and timing of involvement by the audit partner on the VFM conclusion.

Our results over the past three years are shown in the table below:

Grade	Number 2018/19	Number 2019/20	Number 2020/21
Good with limited improvements (Grade 1 or 2)	1	1	6
Improvements required (Grade 3)	2	5	3
Significant improvements required (Grade 4)	1	0	0
Total	4	6	9

Our continued commitment to Audit quality and continuous improvement

Our work over the past year has been undertaken during the backdrop of COVID, when the public sector has faced the huge challenge of providing essential services and helping safeguard the public during the pandemic. Our NHS bodies in particular have been at the forefront of the public health crisis. As auditors we have had to show compassion to NHS staff deeply affected by the crisis, whilst staying focused on the principles of good governance and financial management, things which are more important than ever. We are very proud of the way we have worked effectively with audited bodies, demonstrating empathy in our work whilst still upholding the highest audit quality.

Appendix 2: Significant improvements from the Financial Reporting Council's (FRC) quality inspection (cont.)

Over the coming year we will make further investments in audit quality including strengthening our quality and technical support functions, and increasing the level of training, support and guidance for our audit teams. We will address the specific improvement recommendations raised by the FRC, including:

- Enhanced training for local auditors on key assumptions within property valuations, and how to demonstrate an increased level of challenge
- Formalising our arrangements for the consideration of complex technical issues by Partner Panels.

As part of our enhanced Value for Money programme, we will focus on identifying the scope for better use of public money, as well as highlighting weaknesses in governance or financial stewardship where we see them.

Conclusion

Local audit plays a critical role in the way public sector audits and society interact, and it depends on the trust and confidence of all those who rely on it. As a firm we're proud to be doing our part to promote good governance, effective stewardship and appropriate use of public funds.

9 June 2022**Agenda Item: 8****REPORT OF SERVICE DIRECTOR – FINANCE, INFRASTRUCTURE &
IMPROVEMENT****ASSURANCE MAPPING ANNUAL REPORT 2021-22****Purpose of the Report**

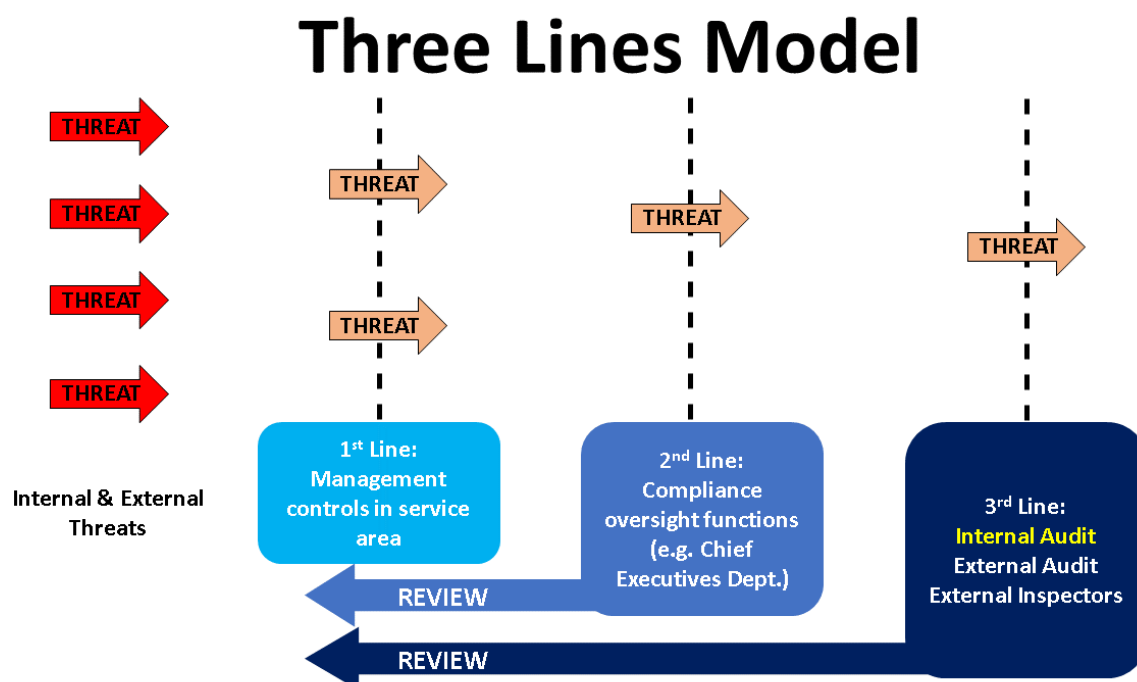
1. To present the outcomes from the assurance mapping work carried out during 2021-22, and to consider the approach for 2022-23.

Information

2. This is the fourth annual report following members' approval of the pilot undertaken in 2018-19. For the benefit of Members new to this process, the aims and benefits of assurance mapping are:
 - To provide annual assurance to the Council (both the Corporate Leadership Team (CLT) and the Governance & Ethics Committee) that effective governance arrangements are in place in the areas that matter most to the Council
 - To provide a sound and comprehensive basis for the Annual Governance Statement (AGS)
 - To identify any overlaps or gaps in assurance from all available sources, allowing improvements to be made in co-ordinating efforts in the coming year
 - To inform the Governance & Ethics Committee's work programme
 - To inform Internal Audit Plans.
3. The remit of the assurance map was expanded to include three new areas in 2020-21, since this time it now includes the following eight areas:

• Financial management	• Performance management
• Risk management	• Asset management
• People management	• Information governance (new in 2020/21)
• Commissioning and procurement (new in 2020/21)	• Transformation and change (new in 2020/21)

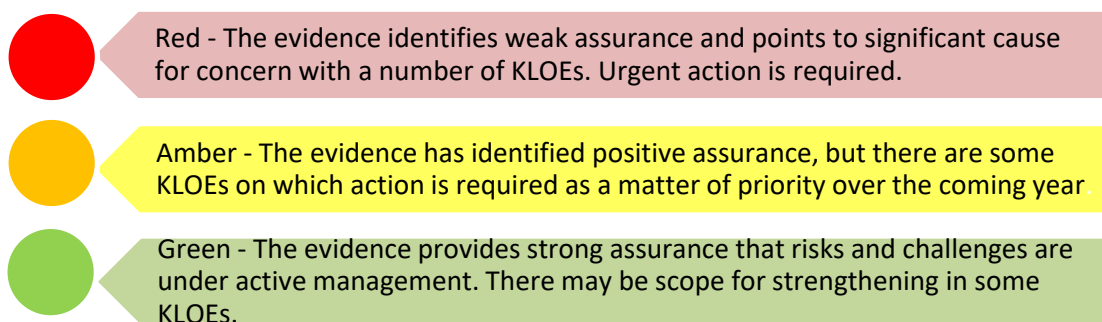
4. For each of these areas, Key Lines of Enquiry (KLOEs) were determined and used to map the sources of assurance available to the Council across its Three Lines Model.



5. This fourth annual report covers the following elements:
- Reporting the evidence gathered from the assurance sources across the three lines model and assessing what assurance can be taken from it about the Council's arrangements for the eight areas of governance.
 - Proposing actions to be taken in 2022/23 to address any concerns identified.
 - Considering the progress made and consolidation of assurance areas for 2022/23.

Assurance mapping outcomes in 2021/22

6. **Appendix 1** presents details of the evidence gathered for each of the eight areas. The evidence for each KLOE is presented across the three lines model. A simple 'Red-Amber-Green (RAG)' rating has been applied, based around the following principles:



7. Key findings as shown in the appendix result in the following key conclusions that may be drawn from the evidence presented:

Appendix 1 shows the key evidence to support the three lines model and identifies the current status based on the above RAG rating, along with any developments and actions. The key conclusions that may be drawn from this evidence is presented below:

- The Council is fully aware of the financial challenges and continues to take appropriate and effective action to meet them.
- Remodelling the approach to transformation has been completed and will bring a different approach to both transformation and performance management.
- The approach to corporate risk management has been revised which will further strengthen our insights and preparedness for future challenges.
- The Council continue to have strong arrangements in place for the effective management of our people which was evident through the pandemic.
- The Council have sound arrangements in place in relation to information management and information governance but remain vigilant to cyber-attack.

Use of the outcomes from Assurance Mapping

8. One of the primary aims of assurance mapping is to provide annual assurance to the Council that effective governance arrangements are in place in the areas that matter most to the Council
9. Beyond this, the assurance assembled through this process can be put to effective use to inform and direct wider governance activity in the Council. The outcomes of this report have been used as set out below:
- a) The Council's Annual Governance Statement (AGS) for 2021/22 – the findings from this year's assurance mapping process have been used as a source of assurance for the statutory AGS.
 - b) Governance & Ethics Committee's work programme – this assurance mapping report provides an important steer for the Committee regarding the areas in which it may wish to seek further assurance in 2022/23.
 - c) Internal Audit Plans – assurance mapping has delivered a clear view of the relative areas of strength and weakness in the governance processes covered by the map. The Team has updated its approach to audit planning and incorporates intelligence gathered from assurance mapping to identify priority needs. The intelligence gathered from this assurance mapping exercise to inform future plans include:
 - considering performance monitoring in relation to the new Council Plan
 - development of the workforce models across all departments
 - delivery of action plans to ensure information management accreditation
 - delivery of objectives for transformation projects.

Proposals for assurance mapping in 2022/23

10. This report represents the fourth year of the assurance mapping exercise and during 2021/22, we have consolidated work on the eight assurance areas by gathering further evidence and representations to support the assurance mapping exercise. The 2021/22 exercise focused on continuing to gather evidence to support the assurance exercise, using the eight assurance areas previously agreed with members.
11. During 2022/23 we will consider how existing and potentially additional assurance areas can be updated and reviewed. This review will take into account the current governance opinion requirements and build on the insight and assurance provided from the newly implemented and developed continuous assurance and risk management processes. We will consult with members and senior officers and bring back proposals for change to this committee during the autumn.

Other Options Considered

12. The assurance mapping process might be discontinued. This would deny the Council the benefits of the approach highlighted in this report. The scope of the assurance map might be retained to cover the eight aspects of governance covered in 2021/22. This would preclude the measured widening of the scope to allow extended benefits to accrue.

Reasons for Recommendations

13. To recognise the benefits that the assurance mapping approach has brought to the Council, along with the improvements that may be made to it. Further, to consolidate the benefits of the approach to the current scope for the 2022/23 assessment.

Statutory and Policy Implications

14. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.
15. The assurance map aims to deliver a comprehensive assessment of the effectiveness of the Council's governance, risk and control framework. This will provide assurance relating to many of the considerations listed above.

RECOMMENDATIONS

- 1) The assurance mapping process is retained in 2022/23.
- 2) The scope of the assurance map for 2022/23 is consolidated to focus on the existing eight assurance areas.
- 3) Progress against proposed actions to address the issues identified be reported to Committee as part of quarterly update reports on the AGS.

Nigel Stevenson

Service Director – Finance, Infrastructure and Improvement

For any enquiries about this report please contact:

Simon Lacey, Interim Chief Internal Auditor

Constitutional Comments (CEH 12/05/2022)

16. The recommendations fall within the remit of Governance and Ethics Committee under its terms of reference.

Financial Comments (SES 11/05/2022)

17. There are no specific financial implications arising directly from the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

FINANCIAL MANAGEMENT – BUDGETARY CONTROL

1st Line

Corporate Directors' Annual Assurance Statements provide strong assurance that budgetary control procedures are complied with.

2nd Line

Close in-year, monthly budget monitoring with due focus on volatile budgets. Net savings (all departments) at period 10 of £5.514m. Forecast underspend in capital programme of £3.334m. Balanced budget agreed for 2022/23.

Medium Term Financial Strategy (MTFS) shows cumulative budget shortfall of £29.1m over the next 4 years which is lower than previously predicted.

3rd Line

Reasonable assurance from Internal Audit on budget forecasting procedures and financial resilience.

Substantial assurance from Internal Audit on Compliance with the CIPFA Financial Management Code (FM Code) – March 2022.



Opinion:
Green

Rationale:

Significant budget challenge facing the Council. Budgetary control procedures are strong.

Developments & Actions:

- Relevant actions included in the Annual Governance Statement (AGS) Governance Action Plan: Continued campaigning for the Fair Funding review to take place.

FINANCIAL MANAGEMENT – FINANCIAL COMPLIANCE

1st Line

Strong assurance that the Council's Financial Regulations are complied with.

2nd Line

Provision of timely and effective professional advice to front-line services.
Strong culture of compliance.

Monthly monitoring confirms good levels of compliance with core financial procedures, including budget monitoring.

Review of the financial impacts (Government Delta-2 returns) now established as business as usual.

3rd Line

Rolling 12-month reports of the Chief Internal Auditor confirm a reasonable level of internal control is in place.

Substantial assurance from Internal Audit of FM Code.



Opinion:
Green

Rationale:
Strong assurance available from all three lines of defence.

Developments & Actions:

- The first year of compliance with the FM Code has now been concluded.
- No further developments or additional actions are identified.

FINANCIAL MANAGEMENT – FINANCIAL PRUDENCE

1st Line

High degree of assurance of compliance with the Treasury Management Framework and Investment Strategy.

2nd Line

Strong compliance with the Council's Treasury Management Strategy. Monthly reporting to Finance Committee. Period 10 updates in the capital programme and cashflow forecasts identified that borrowing was less than expected. Strong cashflow management and bank reconciliation procedures. Returns on prudent investments achieved in an increasingly challenging environment. Borrowing managed within the limits of prudential indicators.

3rd Line

Positive assurance from Internal Audit of Financial Resilience and Continuous Audit.

CIPFA indicators of financial stress for 2020/21 show the Council as responding prudently to its known financial challenges.



Opinion:
Green

Rationale:
Prudent approach to addressing known financial challenges.

Developments & Actions:

- No developments or additional actions are identified.

FINANCIAL MANAGEMENT – VALUE FOR MONEY (VFM)

1st Line

Corporate Director assurance statements provide reasonable assurance that service provision is under ongoing review and opportunities to collaborate and aid VFM are being sought.

2nd Line

Mixed levels of progress with transformation projects from performance dashboard.

The transformation model and programme are delivering savings but still are in a state of transition.

Under-achievement of savings have been reported to Departmental Committees, along with forecast overspends.

3rd Line

External Auditor provided unqualified conclusion re VFM for 2020/21 and is changing focus to ensure VFM is obtained through expenditure reviews.



Opinion:
Amber

Rationale:

Strong focus on ensuring the transformation model and programme continue to drive improvements in VFM.

Developments & Actions:

Relevant actions included in the AGS Governance Action Plan:

- The options for change cases for the cross-departmental transformation programmes were expected to be completed by Autumn 2021, but are delayed to Spring/Summer 2022.
- Continuous assurance feeds to the Corporate Leadership Team and Governance & Ethics Committee.

PERFORMANCE MANAGEMENT

1st Line

Performance and management benchmarking processes in place.

The Planning & Performance Management Framework was refreshed and approved by Policy Committee in April 2019 but is currently being updated. Reporting has been on a Service Committee basis but this is changing to a cabinet system.

2nd Line

Good progress against key strategic measures reported monthly to CLT. Over 65% of performance measures classified as low risk.

Vital signs reports will replace the performance reports to CLT and will also be shared with Cabinet.

Quarterly reporting of ASC, Place and C&F core data sets to service committees.

3rd Line

Covid-19 phase 3 response & recovery internal audit report overall rating substantial assurance.



Opinion:
Amber

Rationale:

KPIs are based upon the old Council Plan, and previous objectives. ASC, Place and C&F RAG ratings for performance show some areas of concern. There is uncertainty around the impact changes to the plan and cabinet system are likely to have.

Developments & Actions:

- The Performance Management Framework is in development, with the implementation of vital signs reports.
- Since the introduction of the new Nottinghamshire Plan (2021-2031), work is still in progress to monitor objectives against the new performance management indicators and under the cabinet system. The first annual report will be published in Spring 2023 so assurance cannot be given until this is in place.

RISK MANAGEMENT

1st Line

Strong assurance that risk management procedures are complied with.

RSEMGs are using a new risk reporting template to inform the RSEMB on the movement of risk for each department.

Risk Management Strategy and Framework in place and positive assurance overall on frontline compliance with mitigating actions for the corporate risk register.

2nd Line

Risk, Safety and Emergency Management Board (RSEMB) meet quarterly to cover key risks. Six monthly updates on risk management to Governance & Ethics Committee.

The Corporate risk register is being maintained, is up to date and has incorporated the latest risks.

3rd Line

Health check by the Council's insurers identifies scope for improvement in corporate risk management arrangements and risk maturity. Progress against these actions has been made.

British Standards Institution (BSI) awarded the Council ISO 45001 Safety Certification remains in place.



Opinion:
Amber

Rationale:

There are some gaps in risk management, but actions are being taken to mitigate them.

Developments & Actions:

- Implement changes to the delivery of corporate risk management, including the establishment of the Council's risk appetite and key risk indicators.
- Departmental risk registers are currently under review. [Page 64 of 166](#)
- Work continues to find additional staffing to oversee corporate risk management activities.
- Awaiting the revision of the Council's Risk Management Strategy and Policy.

PROPERTY ASSET MANAGEMENT

1st Line

Corporate Property Strategy 2018-23 .

“Investing in Notts” applies “overarching principles” for estate management.

Hybrid Working Strategy has assessed office needs.

Service Asset Management Plans still to be produced, but and Asset Management Improvement Programme has been introduced.

2nd Line

Corporate Transformation Phase 2 complete. New KPIs in place.

“Climate Emergency” declaration drives a re-examination of the approach to corporate property.

Arc business plan reflects the NCC 10-year vision.

“Corporate Landlord” approach applied.

Q2 2021 95% of statutory inspections on target. 97% of non-statutory inspections on target .

3rd Line

Internal Audit Report 2021 “Covid - Reoccupation of Council Buildings” provides assurance that buildings were safe to re-occupy post Covid-19.

Arc Partnership maintains ISO45001:2018 procurement accreditations .



Opinion:
Green

Developments & Actions:

- Strategic Asset Management Plans and Property Asset Management Plans to be formulated.
- Opportunities are being sought to extend the new approach to the operational estate (and beyond the Council Office buildings). Drivers are carbon saving, hybrid working and community linkage which are embedded in the transformation programme.
- Examination of co-location of services with the districts. Work has already started in relation to service relocation.

Page 65 of 166

Rationale:

We consider that appropriate steps are being taken to manage the Council’s property assets.

PEOPLE MANAGEMENT – SAFE WORKING ENVIRONMENT

1st Line

Health & safety procedures are in place.

Remote auditing has been introduced by the health & safety team in 2021/22. Site visits were disrupted by Covid in 2020/21, and in 2021/22 there has been a combination of remote auditing and site visits.

2nd Line

Incidents rose 15% this year after staff returned from remote working, but are still at only two-thirds of 2019/20 levels.

Reduction in RIDDOR reportable incidents.

Fall in completed Employer Liability Claims, and related costs.

3rd Line

BSI ISO 45001 certification is in place for the Occupational Health & Safety Management system. Work continues on the ISO 45003 standard on psychosocial risks to address the mental health impacts of the pandemic.

BSI inspections only identified minor issues, fewer than last year, and they are being addressed.

No HSE fines or enforcement notices.



Opinion:
Green

Rationale:

Strong assurance is provided by the good processes within each line of assurance .

Developments & Actions:

- Continue with the introduction of remote health & safety auditing to complement the re-introduction of site visits. Continue work on ISO 45003 standard to address mental health impacts of the pandemic.

PEOPLE MANAGEMENT – STAFFING CAPACITY & STAFFING AFFORDABILITY

1st Line

Procedures in place including the Personnel Handbook.

Online training is well developed, with high usage (35,000 modules completed in the year).

People Strategy 2022-2026 supported by the new Skills Development & Employee Opportunities Strategy to ensure the workforce can meet future needs, and the new Leadership Development Programme.

2nd Line

Sickness levels have increased. Excluding Covid the average is 9.52 days (up from 7.07 days).

Staff turnover was relatively low compared to historic levels, during Covid. Post Covid we are seeing an increase in turnover and vacancy levels in key areas.

Apprentices have increased to 241, and the 2021 graduate trainee cohort of 8 was the largest so far.

Agency Staff costs increased from 4% to 5% of payroll.

3rd Line

Internal audit report on Recovery from Covid (phase 3) included 'New Ways of Working' and gives Substantial Assurance.



Opinion:
Amber

Rationale:

Performance has been generally good despite the challenges of Covid. As we move post Covid we are seeing the impact of Covid on our staffing resources and our ability to recruit and retain staff..

Developments & Actions:

- Workforce Review commissioned to gather evidence in relation to the impacts on staffing resources, analyse the reasons and identify actions to address recruitment and retention issues. (Completion Autumn 2022). Reflect this in updated People Strategy action plans.

PEOPLE MANAGEMENT – STAFF SATISFACTION

1st Line

Positive feedback from Corporate Directors' assurance statements on effective induction for all staff.

Feedback from Corporate Directors' assurance statements on undertaking regular and effective EPDRs was Reasonable.

EPDR completion can only be measured if done on-line. This is increasing but will be promoted further.

2nd Line

2021 employee wellbeing survey reported positive satisfaction levels.

Improvement in gender pay gap, and between pay of highest and lowest /median paid employees.

New on-line Equality Impact Assessment toolkit and training launched.

Launch of Nottinghamshire Way Corporate Leadership Development Programmes and positive feedback received.

3rd Line

Disability Confident Leader award in September 2021.

Timewise accreditation from Nov 2020 to Nov 2021, which has informed the hybrid working strategy.



Opinion:
Green

Rationale:

Key actions delivered and positive assurance in several key areas.

Developments & Actions:

- Widen adoption of online EPDRs and gather qualitative and quantitative data.
- Undertake further wellbeing survey summer/autumn 2022 to monitor progress.
- Encourage staff to share equalities data to improve reporting and monitoring of progress.

INFORMATION MANAGEMENT

1st Line

Corporate Directors' Annual Assurance Statements provide reasonable assurance around compliance with data protection requirements and substantial assurance in the Chief Exec's Dept.

There is a Data Security Incident & Breach Management Procedure.

Mandatory Information Governance training is in place. IG training is below 95% attainment rate required to achieve NHS Digital's DSP Toolkit. However, this is the only area which may not meet the standards and the IG Team have an action plan to address this.

There is a framework in place to help the 1st line, including Policies & Standards, the IG Board, Social Media Policy etc.

2nd Line

Information management is monitored though the Information Governance & Cyber Security (IGCS) Board. KPIs presently provide mixed assurance.

IGCS Board monitor data breaches and DPIAs. NCC are behind on DPIAs and data sharing agreements. Await recommendations to be followed-up on after Covid-19 reviews.

Risk levels have remained above target levels for major failure of IG, and the prolonged loss of ICT

3rd Line

Public Services Network (PSN) Accreditation has been completed and we are compliant until October 2022.

Quarterly Continuous Assurance process includes coverage over Information Governance.

Action plans are being implemented to resubmit Cyber Essentials accreditation and to meet Data Security and Protection Toolkit (DSPT) standards.



Opinion:
Amber

Rationale:

Mixture of positive and negative assurance in areas, but several action plans to remedy the latter.

Developments & Actions:

- Cyber essentials is on-going and due for resubmission in July 2022.
- Annual penetration testing has been completed, awaiting the report to start the Remediation Plan.
- Data Security and Protection Toolkit action plan to be completed by September 2022.

COMMISSIONING & PROCUREMENT – STRATEGY AND RESOURCES

1st Line

The current procurement strategy is still live and valid, running up to 2023. Work on the new strategy will start mid 2023.

The strategic Commissioning programme was recently paused as a result of demand pressures caused by Omicron and pressures on the home care market. This action is now expected to be complete in October 2022.

The register of contracts is available on the procurement intranet page. The list is published yearly with the next update due shortly.

2nd Line

The ASCH Commissioning Board ensures that there is good oversight of its forward commissioning and procurement plan.

The Major Property Projects Board continues to meet on a monthly basis. Any delivery issues reported to but not resolved by the Board are escalated to Committee. Reports are taken to briefings with the Chair of EDAM, EDAM committee itself or FC depending on the nature and severity.

3rd Line

Part of the first phase of the Strategic Commissioning Under-pinning Cross-Council Programme, the Council's commissioning intentions will be published. The aim is to move away from departmental based commissioning to cross-council outcome based strategic commissioning and, where possible, aligning commissioning activity with partner organisations.



Opinion:
Amber

Rationale:

The Strategic Commissioning Programme, had been paused from December 2021, and resumed in April 2022, causing delays in completion.

Developments & Actions:

- The first phase of the Strategic Commissioning programme is expected to be completed by end December 2022.
- The procurement strategy is to be updated in 2023.

COMMISSIONING & PROCUREMENT – CONSISTENT AND EFFECTIVE

1st Line

Standardised templates and guidance are available on the shared drive and sign posted appropriately.

The Financial Regulations Elearning has just gone live.

Commissioning tools and procurement best practice documents are centralised and available on the shared drive.

2nd Line

Regular reporting to Finance Committee, including monthly and quarterly budget monitoring reports.

Financial Waivers are reported to Governance and Ethics Committee Annually. The last waiver report went to Committee in September 2021 and another report is scheduled later this year for 2021-22.

3rd Line

The Regional Commissioning Leads Group for Children's services meets fortnightly, and consists of operational and strategic matters.

ASCH commissioning has brought an external body in to look at contract management, this was linked with procurement to ensure consistency.

The last full Ofsted inspection of Nottinghamshire children's services resulted in a "Good" inspection outcome.



Opinion:
Green

Rationale:

Regular financial reporting is in place. Commissioning tools and procurement best practice documents are available.

Developments & Actions:

- Financial Regulations Elearning will be updated when the new Financial Regulations are in place. Contract management training has also been written, this is ready to be converted into a Elearning module. Commissioning training is to come.

TRANSFORMATION AND CHANGE

1st Line

A major restructure of the transformation model was introduced for 2021/22.

There has been development of new programmes and projects, and the recruitment of staff to deliver them.

Positive feedback from Corporate Directors' assurance statements on engagement with stakeholders for service changes and developments.

2nd Line

There are 4 new cross-cutting programmes, three are on target. One awaits clarification or decision-making before commencement.

In addition to the above there are 2 other underpinning programmes. One is on hold, and one awaits clarification or decision-making before commencement.

3rd Line

An internal audit review assessing the arrangements for Transformation and Change against NAO guidance was completed in the early stages of the current transformation model, and provided reasonable assurance.

Proposals for the new approach to transformation were informed by work with the Council's transformation partner.



Opinion:
Amber

Rationale:

2021/22 was a year of significant development of the new Transformation model, with new programmes, identification and agreement of projects within these, and recruitment of staff to deliver them.

Developments & Actions:

- Delivery of the programmes in the new Transformation model is to continue in 2022/23 including progressing the three programmes that await commencement or are on hold, as well as the three programmes that are currently on target.

9 June 2022

Agenda Item: 9

REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE & IMPROVEMENT

INTERIM CHIEF INTERNAL AUDITOR'S ANNUAL REPORT FOR 2021/22

Purpose of the Report

1. To inform Members of the Interim Chief Internal Auditor's Annual Report for 2021/22 and his opinion on the adequacy of the County Council's arrangements for governance, risk management and control.

Information

2. The Internal Audit Service worked to the Public Sector Internal Audit Standards (PSIAS) during 2021/22. One requirement of the standards is that the Interim Chief Internal Auditor should provide an annual, written report to those charged with governance. The report must:
 - a) deliver an annual internal audit opinion
 - b) conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control
 - c) incorporate the opinion, a summary of the work that supports that opinion, and a statement on conformance with PSIAS and the results of the quality assurance and improvement programme.
3. The Annual Report for 2021/22 is set out in **Appendix 1**. Key points to note are the following:
 - a) Internal Audit complied with the Public Sector Internal Audit Standards throughout the year and continued to operate independently
 - b) Internal Audit's work contributed to the objectives of the Council and delivered beneficial impacts for the citizens of Nottinghamshire and the direct users of the County Council's services
 - c) The Interim Chief Internal Auditor has provided his opinion on the arrangements in the Council for governance, risk management and control:

Governance



REASONABLE ASSURANCE

- Good evidence supporting the Annual Governance Statement and annual assurance mapping
- Assurance from external inspectors

Risk Management



REASONABLE ASSURANCE

- Corporate risk management structure remained in place and was actively in response mode to help steer the Council through the pandemic
- Assurance from external review progress reports

Control



REASONABLE ASSURANCE

- Predominantly 'reasonable assurance' delivered from audit assurance work
- Delays with implementing Priority 1 actions

Other Options Considered

4. The Internal Audit Section is working to the Public Sector Internal Audit Standards. This report meets the requirement of the standards to submit an Annual Report by the Head of Internal Audit to the appropriate governance forum. No other option was considered.

Reason for Recommendation

5. To set out the Interim Chief Internal Auditor's Annual Report for 2021/22, providing Members with the opportunity to comment on its content and to make suggestions for future audit coverage.

Statutory and Policy Implications

6. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

7. The Local Government Act 1972 requires, in Section 151 that the Authority appoint an officer who is responsible for the proper administration of the Council's financial affairs. The Service Director for Finance, Infrastructure & Improvement is the designated Section 151 officer within Nottinghamshire County Council. Section 6 of the Accounts and Audit Regulations 2011 requires Local Authorities to undertake an adequate and effective internal audit of its accounting records and of its system of internal control. The County Council has delegated the responsibility to maintain an internal audit function for the Authority to the Service Director for Finance, Infrastructure & Improvement and Section 151 Officer.

RECOMMENDATIONS

- 1) That the contents of the Interim Chief Internal Auditors Report for 2021/22 be noted.
- 2) That a further report will be brought to the committee in 12-months time.

Nigel Stevenson

Service Director for Finance, Infrastructure & Improvement and Section 151 Officer

For any enquiries about this report please contact:

Simon Lacey

Interim Chief Internal Auditor

Constitutional Comments (EKH 19/05/2022)

8. Pursuant to the Nottinghamshire County Council Constitution this committee has the delegated authority to receive this report and make the recommendations contained within it.

Financial Comments (SES 11/05/2022)

9. There are no specific financial implications arising from this report.
10. The financial implications are set out in paragraph 6 of the report which states that the Local Government Act 1972 requires, in Section 151 that the Authority appoint an officer who is responsible for the proper administration of the Council's financial affairs. The Service Director for Finance, Infrastructure & Improvement is the designated Section 151 officer within Nottinghamshire County Council. Section 6 of the Accounts and Audit Regulations 2011 requires Local Authorities to undertake an adequate and effective internal audit of its accounting records and of its system of internal control. The County Council has delegated the responsibility to maintain an internal audit function for the Authority to the Service Director for Finance, Infrastructure & Improvement and Section 151 Officer.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

Internal Audit Annual Report 2021/22

Simon Lacey – Interim Chief Internal Auditor

SUMMARY OF INTERNAL AUDIT'S WORK IN 2021/22

- 1) The Authority has a statutory responsibility to undertake an adequate and effective internal audit of the County Council's operations. This responsibility is discharged by the Internal Audit Service which has unrestricted access to all activities undertaken by the County Council.
- 2) The work carried out by Internal Audit involves reviewing and reporting on the governance, risk management and control environment established by management to:
 - determine and monitor the achievement of the Authority's objectives
 - identify, assess and appropriately manage the risks to achieving the Authority's objectives
 - facilitate policy and decision making
 - ensure the economical, effective and efficient use of resources
 - ensure compliance with established policies, procedures, laws and regulations
 - safeguard the Authority's assets and interests.
- 3) Internal Audit's work is planned to cover these areas and to provide an independent assessment of whether the Authority's systems and procedures are working appropriately. The work of Internal Audit is carried out in compliance with the Public Sector Internal Audit Standards (PSIAS). The essential roles set out in the

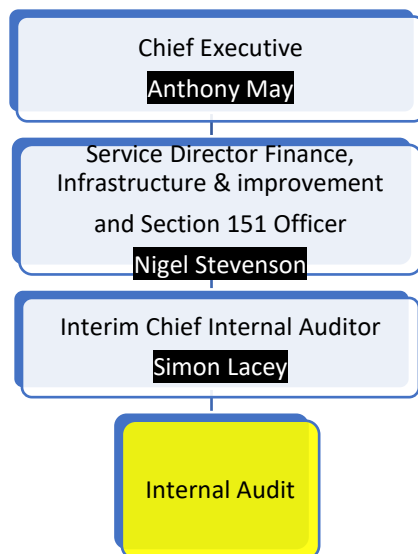
standards for effective internal audit are delivered at this Council as follows:

PSIAS Role	Delivered at NCC by:
Chief Audit Executive (CAE)	Interim Chief Internal Auditor
Senior Management	Corporate Leadership Team
Board	Governance & Ethics Committee

- 4) Throughout 2021/22, Internal Audit continued to operate independently within the organisation. No impairments to its independence arose during the year.
- 5) The pandemic presented a challenge of adjustment for all internal audit teams, potentially putting the delivery of planned internal audit work at risk. In recognition of this, the Chartered Institute of Public Finance & Accountancy (CIPFA) issued guidance for Heads of Internal Audit to assess the impact locally, and to determine whether a 'limitation of scope' should be applied to the year-end opinion. My self-assessment against this guidance confirmed that a limitation of scope is not required, as I have sufficient sources of evidence available to me to determine my opinion.

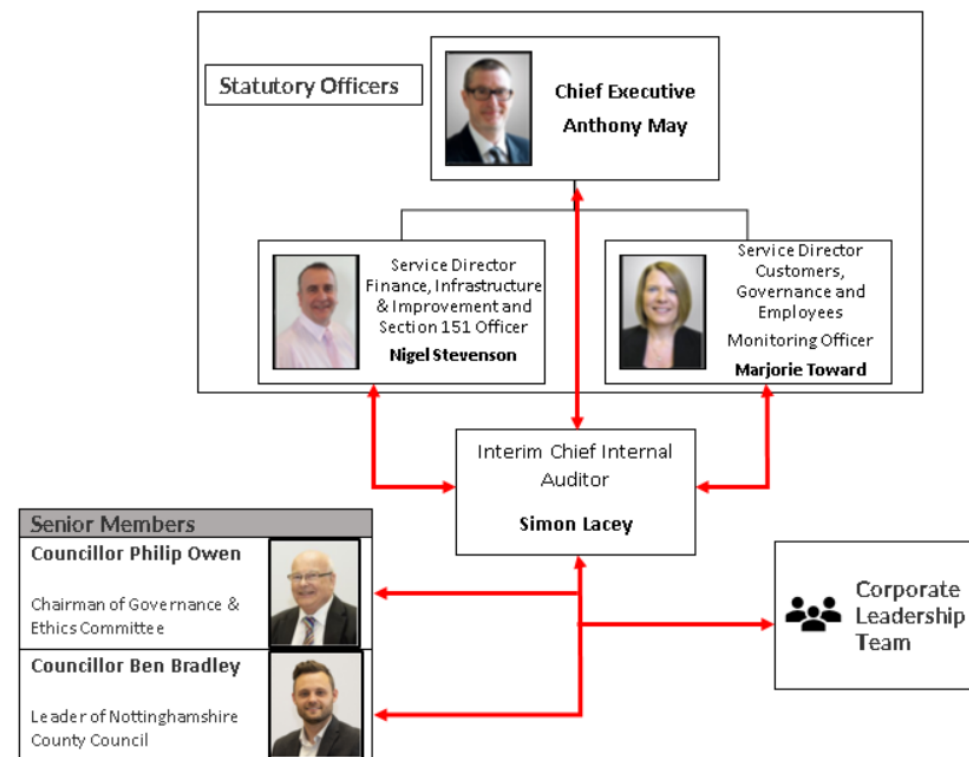
SUMMARY OF INTERNAL AUDIT'S WORK IN 2021/22

- 6) Internal Audit is positioned within the Assurance Group of the Chief Executive's Department. In my role as Interim Chief Internal Auditor, I report directly to the Service Director – Finance, Infrastructure & Improvement, a member of the Corporate Leadership Team.



- 7) My interim role is providing long term sickness cover for the Group Manager – Governance. I am providing cover for only the Internal Audit service and therefore have no impairment in relation to other roles undertaken by the Group Manager as reported in previous years. In forming my opinion, I have drawn on the shared knowledge and understanding of the Internal Audit service over the last 12 months and reviewed the assessment previously undertaken by the Group Manager.

- 8) The arrangements for the Internal Audit Team's organisational independence remained unchanged and are depicted in the diagram below. I have continued to have direct reporting lines open to me with the principal officers and members of the Council responsible for governance, risk management and control. These lines of access to senior members remained unchanged following the local elections in May 2021.



SUMMARY OF INTERNAL AUDIT'S WORK IN 2021/22

- 9) A wide range of audit work was completed during the year, comprising formal reports and written advice, covering the following key types of Internal Audit input:
 - Assurance audits, for which an audit opinion is issued
 - Advice and consultancy – often relating to key developments and initiatives
 - Counter-fraud – including the investigation of suspected fraud
 - Certification audits – generally small jobs to sign off returns and accounts.
- 10) Most of Internal Audit's assurance work results in the issue of an opinion on the internal controls and procedures in place, categorised as follows:
 - *Substantial Assurance* – there are no weaknesses or only minor weaknesses
 - *Reasonable Assurance* – most of the arrangements for financial management are effective, but some weaknesses have been identified
 - *Limited Assurance* – there is an unacceptable level of risk which requires the prompt implementation of the recommendations made to correct the weaknesses identified.
- 11) Internal Audit responded flexibly to the impact of the pandemic in 2021/22. Its termly planning approach proved well suited to the need for audit priorities to be kept under timely review. As the Council re-set its

organisational objectives to respond to the pandemic, Internal Audit flexed its plans to provide timely assurance in support. This approach was especially important for assurance to front-line services, with efforts focussed on helping managers maintain an appropriate balance between speed of response and proportionate control.

- 12) Those inputs were complemented with the more established approach for assurance that the Council's core processes have remained resilient through the pandemic.
- 13) The outcomes from the work in each of three Termly Plans during the year have been reported to the Governance & Ethics Committee, as follows:
 - Term 1 September 2021
 - Term 2 March 2022
 - Term 3 June 2022 (as part of this report)

The key issues arising in these reports are summarised below in the 'annual opinion' section.
- 14) Internal Audit was involved with a limited number of irregularity investigations during the year. Details of this work is incorporated in the Annual Fraud Report for 2021/22, which is the subject of a separate report to the Governance & Ethics Committee in July 2022.

SUMMARY OF INTERNAL AUDIT'S WORK IN 2021/22

- 15) Internal Audit's ultimate objective is to bring beneficial impacts from its work for the citizens of Nottinghamshire and the direct users of the County Council's services. Arising from its work in 2021/22, the service can point to several positive impacts:



Comprehensive phased reviews have been carried out of the Council's response to the pandemic. These have delivered positive assurance for the people of Nottinghamshire that the Council has mounted an effective response, having due regard to the speed of delivery and proportionate control. Achieving this balance was also the focus of Internal Audit's input to the roll-out of the Council's UK Community Fund, Household support Fund and transport operator payments.



For Council Tax payers, helping the organisation to strengthen its stewardship of public funds. Audits of several the Council's core systems and procedures (such as post payment assurance, procurement cards and CIPFA code) have identified opportunities to strengthen further the organisation's grip on its finances, as well as its wider approach to governance. Similarly, the service's key contribution towards promoting a counter-fraud culture in the Council plays an important role in helping minimise losses to fraud.



For the protection of the Nottinghamshire public, our audit of Trading Standards activity and work with Public Health assessed how resources are put to

best use to ensure effective deterrent and protection is delivered.



For adults, there has been a similar focus on the use of resources, especially in relation to delivering mental health services. Within children's, work has reviewed arrangements for the regional adoption agency and contributed to the Member led expenditure review. Such work places the best interests of vulnerable residents at the heart of the review.

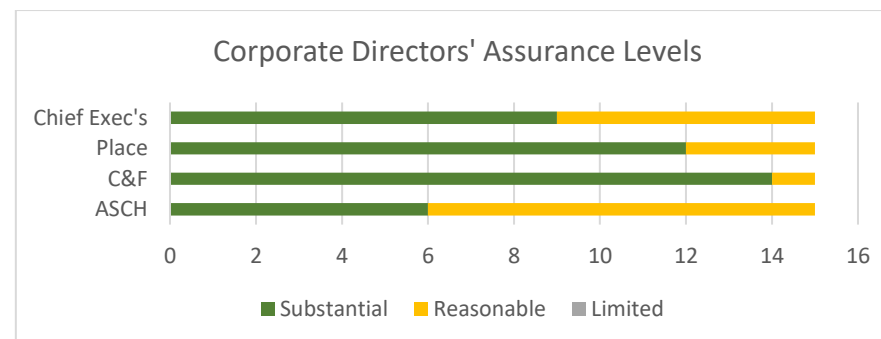
ANNUAL OPINION OF THE INTERIM CHIEF INTERNAL AUDITOR

Governance



Basis for opinion in 2021/22

- 16) The Annual Governance Statement (AGS) for 2021/22 assesses compliance with the Council's Local Code of Corporate Governance, which is based on the seven core principles of good governance as recommended in the CIPFA/SOLACE Framework for 'Delivering good governance in Local Government' (2016 Edition).
- 17) In support of the AGS, Corporate Directors provided their annual assurance statements for 2020/21, concerning the application of key governance controls in their areas of service. Directors' assurance levels for 15 aspects of the Local Code of Corporate Governance is set out in the following chart, analysed by department.



- 18) The AGS generates an annual Governance Action Plan, progress against which is tracked quarterly through the year. Updates to the Corporate Leadership Team and to the Governance & Ethics Committee have shown steady progress, despite the challenge of the pandemic response.
- 19) Assurance mapping for eight aspects of corporate governance has been reported to the Governance & Ethics Committee in June 2022. The areas covered by the map and rating in 2021/22, are the following:

Aspect	Rating	Aspect	Rating
Financial management	Green	People management	Green
	Green		Amber
	Green		Green
	Amber		
Performance management	Amber	Information governance	Amber
Risk management	Amber	Transformation	Amber
Asset management	Green	Commissioning and procurement	Amber
			Green

ANNUAL OPINION OF THE INTERIM CHIEF INTERNAL AUDITOR

20) The Governance and Ethics Committee received an annual Whistle-blower report in March 2022. Few complaints have been received through the policy in the past few years, and a full review of it will be carried out to understand the reasons for that more closely.

21) Other, important sources of assurance were delivered from external inspections during the year, as set out in the following extracts.

Local Government &
Social Care
OMBUDSMAN

22) The Ombudsman's annual report for the year ending March 2021 provided assurance that the outcomes of complaints received by this Council had the lowest uphold rate of all the statistically significant Councils.



23) The Council's Legal Services Team retained the Law Society's legal practice quality mark for practice management and client care.

bsi.

Certificate of Registration

24) Following an external health and safety audit by the British Standards Institute in January 2021, the Council

received accreditation to ISO45001 for its Health and Safety Management System.

Risk Management



Basis for opinion in 2021/22

25) In support of the Annual Governance Statement, Corporate Directors provided positive levels of assurance that the actions detailed in the Corporate Risk Register to mitigate the identified risks continue to be taken by designated officers. However, there is no routine process in place to evidence that these actions are taken.

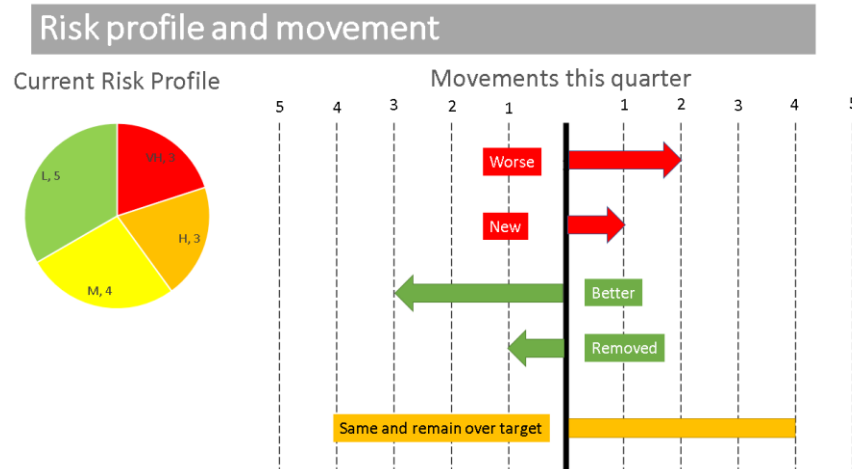
Corporate risk register:

Mitigations carried out

Dept	Assurance Level
ASCPH	Green
C&F	Green
Place	Green
Chief Exec's	Amber

ANNUAL OPINION OF THE INTERIM CHIEF INTERNAL AUDITOR

- 26) Since the outcome of the Zurich Municipal Healthcheck external review progress has been made against the action plan. A forward-looking strategic risk register has been developed using a PESTLE analysis to identify future threats and opportunities across the Council.
- 27) A further significant development has been the implementation of a risk reporting regime to provide a concise view of current risk levels and the movements in those risk levels.



- 28) Internal Audit's risk-based audit approach did not identify any high-level risks in 2021/22 which were either not recognised by the organisation or for which the mitigating actions in place were fundamentally inadequate.

- 29) The Group Manager – Assurance attends meetings of the Council's Risk, Safety & Emergency Management Board during the year. This provides ongoing assurance that the Council's over-arching framework for risk management continued to be applied. The Board met frequently in 2021/22, to provide a strong focus on operational risks arising from the pandemic.
- 30) Routine update reports on risk management to the Governance & Ethics Committee were restored in 2020/21. The most recent report in March 2022 identified the current risk levels and progress with the implementation of the action plan.

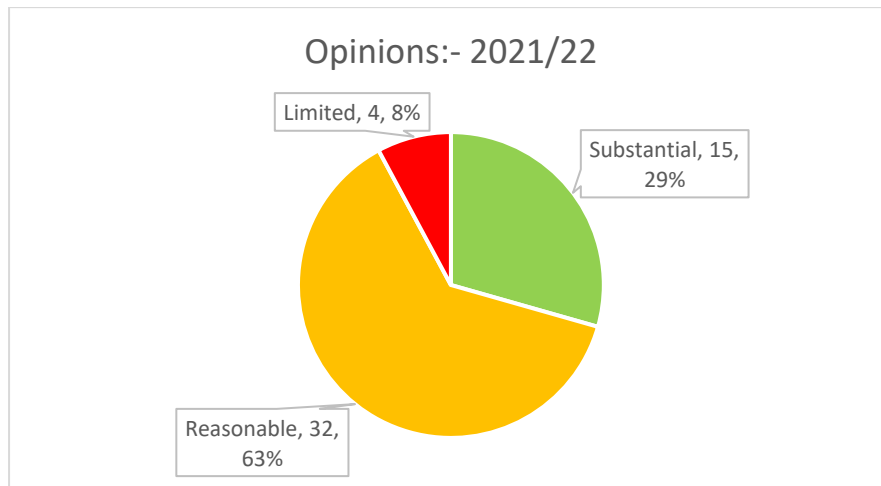
ANNUAL OPINION OF THE INTERIM CHIEF INTERNAL AUDITOR

Control



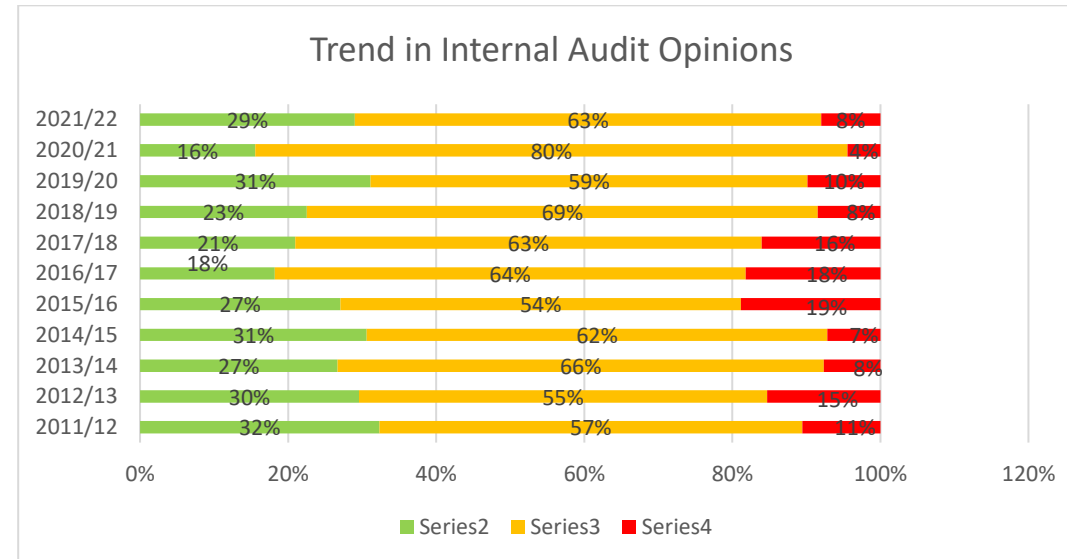
Basis for opinion in 2021/22

- 31) Analysis of the opinion-based assurance work shows the following distribution of opinions issued during 2021/22.



- 32) The trend in the incidence of audit opinions over the past few years is illustrated in the graph below. This

continues to show a positive picture that, in 2021/22, there were few limited assurance opinions issued on Council systems and processes. The increase from 2020/21 is due to the recommencement of school audit visits.



- 33) The Annual Governance Statement for 2021/22 recognises continued pressure on core systems of internal control and, in particular, the impact the pandemic had on capacity to implement agreed recommendations. Implementation rates for Priority 1 actions remained below target.

ANNUAL OPINION OF THE INTERIM CHIEF INTERNAL AUDITOR

- 34) The Information Governance Board, and the relevant teams in the Chief Executive's Department, have a continuing focus on the challenge that cyber security poses to all organisations, across all sectors.
- 35) The outcome of the annual assurance mapping process (see paragraph 19, above) is also relevant to the assessment of the control framework. In addition to this, Internal Audit continued the development of a feed of continuous assurance about the effectiveness of many of the Council's key, corporate processes, embracing:
- Accounting & budgetary control
 - Procurement
 - Income and debtors
 - Purchasing
 - Payments
 - Payroll
 - Pensions
 - Health and safety
 - Constitutional decisions
 - Information governance
- 36) The following sets out an extract of metrics and charts to illustrate some key assurance indicators for 2021/22 that are reported to statutory officers monthly to provide high level assurance.

Headlines



19 of the areas (76%) provide positive assurance



6 of the areas (24%) provide generally positive assurance, with some potential areas for further review:

- Data Protection training to be completed
- A few overtime claims over 99 hours
- Occasional payroll overpayments
- Higher value Purchase Card transactions
- Higher cash float usage at some locations
- Debt write-offs in late 2021 higher than previous year



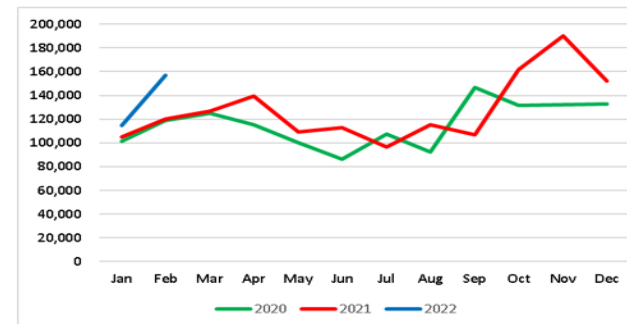
0 of the areas (0%) provide negative assurance



0 areas for which updated data awaited

Purchase Card Expenditure

Risk: Large payments that avoid controls over approval and competitive procurement



PERFORMANCE OF THE INTERNAL AUDIT TEAM

Key Performance Indicators

- 37) Progress against the Section's performance indicators is reported on a termly basis to the Governance & Ethics Committee. A summary of what has been achieved, and what has fallen short, is provided below.

Risk-aware Council	
Completion of Termly Plans	✓ Termly plans were flexed to respond to the changing assurance requirements through the pandemic
Regular progress reporting	✓ Termly reporting in place
Fraud awareness updates	✓ 6-monthly reporting to the Governance & Ethics Committee
Influential Audit Section	
Recommendations agreed	✓ 100% agreement
Engagement with the Transformation agenda	✗ Review of the Council's transformation projects is in progress.
Improved internal control & VFM	
Implementation of agreed actions	✗ Delays with Priority 1 actions highlighted
Quality measures	
Compliance with standards	✓ High degree of compliance
Customer feedback	✓ High levels of satisfaction

Benchmarking

- 38) The anticipated progress with the emerging, alternative benchmarking approaches through the following regional and national groups was restricted by the pandemic:
- the National Chief Auditors' Network
 - the Midland Counties Heads of Internal Audit Group.
- 39) However, it is hoped that developments will resume in the current year.

Public Sector Internal Audit Standards (PSIAS)

- 40) The Group Manager – Assurance carries out an annual self-assessment of compliance against the PSIAS. This incorporates the requirements of the Local Government Application Note (LGAN), which provides additional advice and guidance to providers of internal audit services in a local government setting.
- 41) In addition to the self-assessment, the service is subject to an External Quality Assessment (EQA) once every five years. The most recent EQA was carried out in March 2018.
- 42) For 2021/22, the self-assessment has been updated and has been used to form the basis of the annual Quality Assurance and Improvement Programme (QAIP) for the service. The outcome of the assessment provides significant assurance to the Council that the Internal Audit service conducts its work with due professional

PERFORMANCE OF THE INTERNAL AUDIT TEAM

care. It confirmed the following in respect of the work carried out by the service in 2021/22:

- a) The service applied a systematic, risk-based approach to the assurance work it delivered
- b) Internal Audit staff performed their duties with due regard to the code of ethics set out in the standards

43) Nonetheless, the QAIP has identified some scope for improved compliance, with an action plan to provide a focus for continuous improvement in 2022/23 (see **Annex 1** below). Key themes for further improvement centre around the following:

- A review of the Team's resources against its foreseeable workloads and operation of previous restructure. This will incorporate a review of approaches and capabilities in the deployment of specialist ICT audit resources.
- Continuous update of our Audit Manual, to keep pace with professional changes ensuring staff understand and consistently comply with core audit quality processes.

REVIEW OF THE STRATEGIC AUDIT PLAN 2022-2025

- 44) In December 2021, Governance & Ethics Committee approved a Strategic Audit Plan for the period 2022 to 2025, along with a commitment to keep this under review on an annual basis.



Purpose of the Strategic Internal Audit Plan

- The purpose of the Strategy remains valid and unchanged.



Delivery model

- The Strategy remains to deliver the service through the in-house team, and to continue its outward-looking approach, notably through its collaboration with Assurance Lincolnshire.



Understanding the Council's assurance needs

- The termly, 4-monthly audit plans will continue, and should prove of particular benefit to maintain the

relevance of Internal Audit's work in the recovery from the pandemic.

- The balance of Internal Audit's work between advisory input and risk-based assurance reviews tipped significantly towards advice during the pandemic. Opinion-based assurance work will increase through this period, embracing the possibilities offered by a 'continuous assurance' approach and to facilitate the conduct of 'value for money' type reviews.
- The service's pro-active counter-fraud programme is key to heightening awareness of potential fraud vulnerabilities. Pro-active assurance work will be carried out with a sharpened focus on fraud detection, to provide assurance that the Council has not been the target for attacks.



Deploying Internal Audit resources

- The internal audit apprentices are now established members of the Team and making productive contributions to the delivery of the service's Plans alongside progress with their professional audit studies. Internal Audit will also continue to exploit opportunities to bring in graduate and other developmental placements to the service, which provides a mutually beneficial opportunity for both the Team and the learner.

REVIEW OF THE STRATEGIC AUDIT PLAN 2022-2025

- 'Continuous auditing' will be progressed further, building on the impetus given to this approach to support statutory officers.
- The service will review options for bringing in the specialist resources needed, for example more technical ICT risk



Maintaining quality and VFM

- The service remains committed to progressing its Quality Assurance & Improvement Programme.
- The experience of delivering the internal audit service through the hybrid working approach continues to be reviewed to inform the Team's approach going forward.



Reviewing and reporting progress

- Internal Audit's reporting schedule to the Corporate Leadership Team and to the Governance & Ethics Committee remains appropriate and timely.

ANNEX 1: QUALITY ASSURANCE & IMPROVEMENT PROGRAMME

Update on progress against the 2021/22 QAIP

	Audit Standard	Gap in meeting standard	Action Required	Officer responsible	Timeline	(Progress – to be updated for 2021/22)
21/22 1	Alignment with strategies, objectives and risks of the organisation	Audit strategy will expire in 2021	Refresh the Audit Strategy to align with the new Council Plan	Group Manager - Assurance	December 2021	Implemented – New Audit Strategy reported in December 2021
21/22 2	Adequate resources for the Team	The extent of non-audit duties for the Team increased in 2020/21	Progress options for more permanently resourcing the delivery of: - Corporate risk management - Assurance mapping - Continuous assurance - Quarterly governance updates	Group Manager - Assurance	September 2021	Under development To be finalised in 2022/23
21/22 3	Effective communication	Potential scope to make audit reports more concise and engaging	Review the format of the standard audit report	Group Manager - Assurance	September 2021	Under development To be finalised in 2022/23
21/22 4	Risk-based assurance and risk assessments	Scope to update the risk assessment process	Embed development in 2020/21 of intelligence-based priority assessments for Termly Plans.	Group Manager - Assurance	From Term 2 2021/22	Implemented – termly plans are now reported to G&E routinely.
21/22 5	Skills, knowledge and competence of audit resource	Competence to carry out some ICT audits	Procurement of external provider to carry out an ICT audit risk assessment and to deliver the more	Group Manager - Assurance	From Term 2 2021/22	Implemented – risk assessment completed and action now in place for 2022/23 to deliver within plans.

ANNEX 1: QUALITY ASSURANCE & IMPROVEMENT PROGRAMME

	Audit Standard	Gap in meeting standard	Action Required	Officer responsible	Timeline	(Progress – to be updated for 2021/22)
			complex ICT assignments in the Termly Plans			
21/22 6	Maintain audit procedures	Audit Manual needs to be updated	Update the Audit Manual for developments in agile auditing approach during 2020/21	Team Manager – Internal Audit	November 2021	Implemented in relation to agile audit approach – maintain as an on-going issue to review and update.
21/22 7	Documentation of findings and supervision	Some inconsistent use of audit automation system	Scope to ensure the consistent use of the audit automation system for all types of assignment, especially for the more agile, advisory pieces of work that were a feature of 2020/21.	Team Manager – Internal Audit	Immediate	Implemented in relation to advisory work - maintain a risk in relation to ensuring continued use.

New actions for 2022/23 – arising from the Head of Internal Audit's annual self-assessment

	Audit Standard	Gap in meeting standard	Action Required	Officer responsible	Timeline	(Progress – to be updated for 2022/23)
22/23 1	Adequate resources for the Team	The extent of non-audit duties for the Team increased in 2021/22	Progress options for more permanently resourcing the delivery of: - Corporate risk management - Assurance mapping	Group Manager - Assurance	September 2022	

ANNEX 1: QUALITY ASSURANCE & IMPROVEMENT PROGRAMME

	Audit Standard	Gap in meeting standard	Action Required	Officer responsible	Timeline	(Progress – to be updated for 2022/23)
			- Continuous assurance Quarterly governance updates			
22/23 2	Effective communication	Potential scope to make audit reports more concise and engaging	Review the format of the standard audit report	Group Manager - Assurance	September 2022	
22/23 3	Skills, knowledge and competence of audit resource	Competence to carry out some ICT audits	Procurement of external provider to carry out the more complex ICT assignments in the Termly Plans	Group Manager - Assurance	From Term 1 2022/23	
22/23 4	Maintain audit procedures	Audit Manual needs to be continually updated	Update the Audit Manual for developments auditing approach during 2022/23	Team Manager – Internal Audit	March 2023	
22/23 5	Documentation of findings and supervision	Some inconsistent use of audit automation system	Scope to ensure the consistent use of the audit automation system for all types of assignment, especially for the more agile, advisory pieces of work.	Team Manager – Internal Audit	Immediate	

09 June 2022

Agenda Item: 10

**REPORT OF SERVICE DIRECTOR, FINANCE, INFRASTRUCTURE &
IMPROVEMENT****FOLLOW-UP OF INTERNAL AUDIT RECOMMENDATIONS****Purpose of the Report**

1. To report progress with the implementation of agreed management actions to address Internal Audit recommendations.

Information

2. Internal Audit carries out follow-up work every six months, as follows:

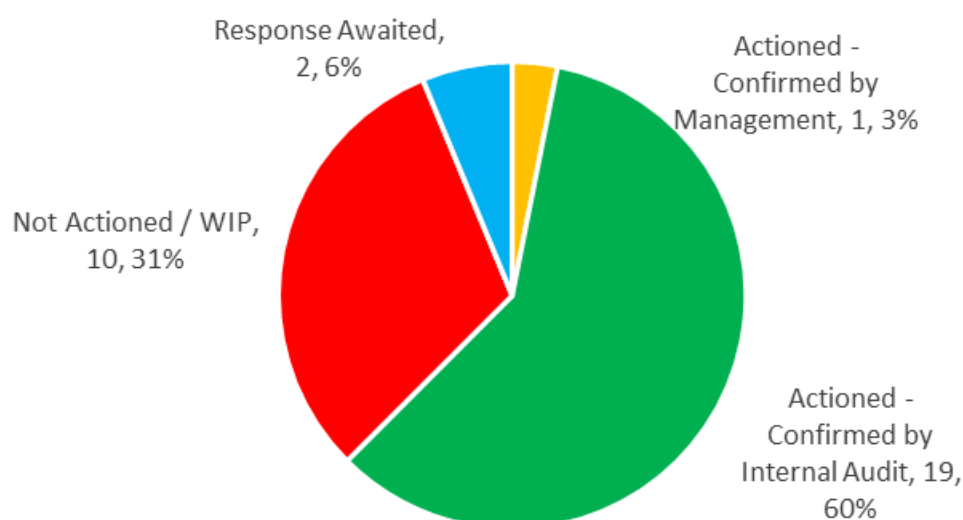
Priority rating of recommendation	Management assurance	Internal Audit assurance
Priority 1	Updates sought from action owners about implementation	Testing to confirm management assurances about implementation
Priority 2		Sense-checking of updates, but no testing required

3. The charts, tables and text in this report, and its appendix, describe the progress made by action owners in implementation, and the outcomes of testing for Priority 1 actions.

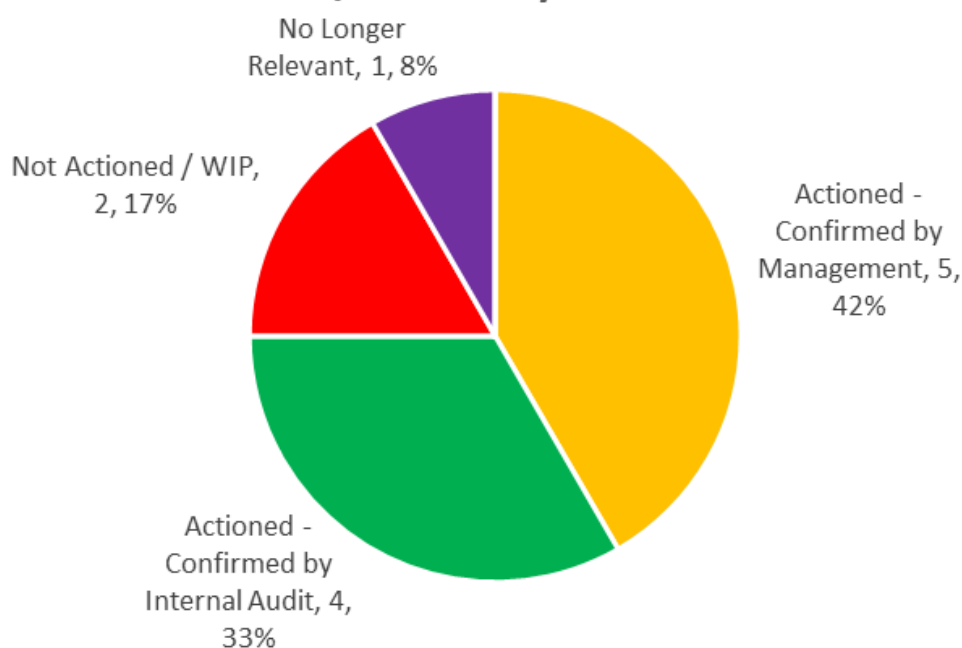
Priority 1 Actions

4. The degree of progress made with implementing and testing the more recent Priority 1 actions are summarised in the pie charts below, which cover the latest two financial years:

2020/21 Priority 1 Actions



2021/22 Priority 1 Actions



5. Taken together, the green and amber segments of the pie charts confirm that the majority of Priority 1 recommendations from both years have been actioned. The amber segments show that Internal Audit has yet to test a proportion of these, where actions have been finalised only recently, although we have also successfully tested a number of confirmed actions, as shown in the table below. Action owners have commented many times that the pandemic has been the key factor in delaying implementation, including older actions, evidence of which is shown by the red segments.

6. Our testing has confirmed satisfactory implementation for the following Priority 1 actions, many of which pre-date the start of the pandemic:

Priority 1 Actions – Cleared by Internal Audit following recent testing	
Audit – Agreed Action	Cleared following enquiry and testing
Pre-2020/21	
Payroll – schools overtime entered, approved, and paid to same person	Reports are run to identify cases. Workshops are being held with schools, which address this issue.
Pensions administration – non-recurring payments e.g., lump sums	Single integrated database implemented, allowing internal reconciliation of non-recurring payments.
Health and safety – emergency response provision	New arrangements for emergency response provision communicated to all staff.
Direct payment support services – contract monitoring	New contracts now issued with required key performance indicators (KPI's), and performance monitoring now taking place.
School expansion and place planning – forecasting model	New and improved forecasting tool now in operation.
School expansion and place planning – business cases	Business cases have greater consistency and are reviewed for accuracy and completeness.
Budget forecasting – training	More training in budget monitoring and forecasting now undertaken by Finance teams, as required.
Budget forecasting – validation	Failure to complete monthly forecasts now highlighted in budget monitoring reports. Recent reports indicate full compliance.
Care home fees – recording reduced rates for banded homes	Reductions and discounts can now be captured separately and uniquely within Mosaic (rather than adjusting other fields).
Occupational health equipment – contractual agreements	Contract management toolkit and procurement spend dashboard implemented. Annual spend reports issued to senior leadership.
Continuing healthcare (CHC) – care package review forms	Updated CHC checklist now in Mosaic to guide staff in form completion, and all other agreed actions completed.
2020/21	
Transport and travel services – non-tendered contract awards	Compliant process now agreed with Corporate Procurement, and open procurement achieved for all recent contract replacements.
Section 106 Agreements – eight actions cleared	Eight of nine recommendations have been tested and cleared, related to the planning obligations strategy, the developer database and developer contributions meetings.
2021/22	
Response to Covid-19 (phase 2) – supplier relief	NCC's DELTA16 returns captured all additional COVID-19 cost pressures, including the formerly incurred supplier relief costs.
External placements for Looked After Children (LAC) – off-framework arrangements	Actions continue to be taken that will minimise the need for as many off-framework arrangements (which can be more expensive).
External placements for LAC – budget pressures	Actions continue to be taken to manage the pressures, including improved forecasts. A reduced overspend was incurred in 2021/22.

7. Management has provided assurance that the following actions have been implemented, and so – being Priority 1 recommendations - Internal Audit will schedule future testing:

Priority 1 Actions – Management assurance obtained – Internal Audit to schedule testing	
Audit – Agreed Action	Action Assurance Update
Pre-2020/21	
Health and safety - mandatory training	Campaign to ensure compliance with H&S requirements in relation to fire safety agreed and being rolled out, together with mandatory training from April 2022.

Priority 1 Actions – Management assurance obtained – Internal Audit to schedule testing	
Audit – Agreed Action	Action Assurance Update
Sickness Absence Management - mandatory training	There has been a significant increase in line managers taking mandatory training, with 1,167 completions within three-year refresher cycle, compared with 150 at the time of audit.
2020/21	
Section 106 Agreements – development of commencement notification	Clause requiring developers to notify local planning agreements (LPAs) are in place. Implementation of formalised meetings, post-pandemic, to notify development commencements to be tested.
2021/22	
Response to Covid-19 (phase 2) – data protection impact assessments (DPIA's)	Information Governance Team now fully staffed, which is expected to end backlogs in DPIA's.
Adoption and permanence - annual financial reassessments	Two new staff appointments is expected to end backlogs in financial reassessments
Sale of land and properties - capital receipts budget	Actions to progress properties to sale and achieve capital receipts budget implemented. A separate audit to be scheduled in the plan.
Sale of land and properties - Governance and financial regulations	Actions to improve filing and documentation to evidence key decisions and events implemented. A separate audit to be scheduled in the plan.

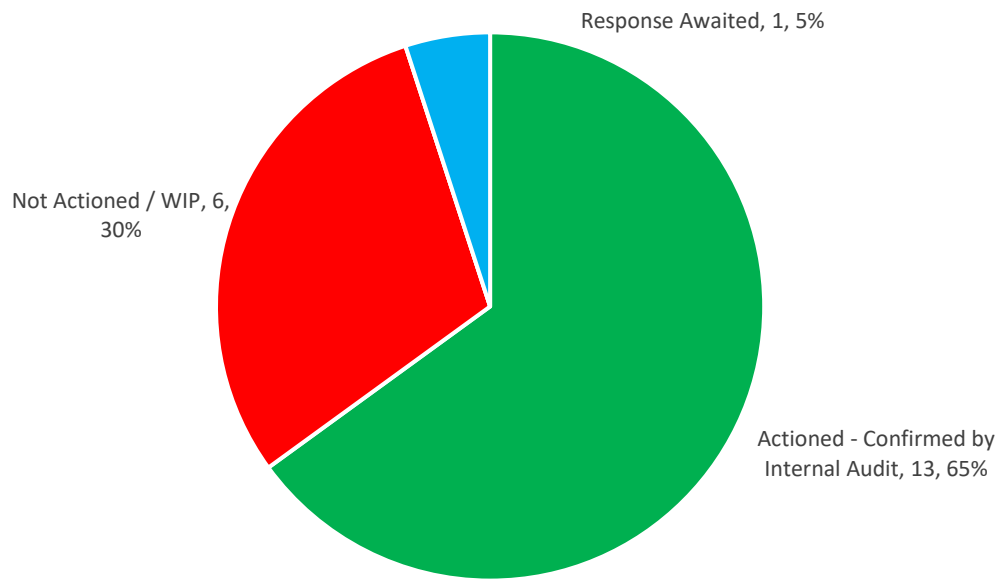
8. However, despite the positive messages above, our work continues to identify Priority 1 actions where implementation is overdue, in some cases long overdue i.e., from before the pandemic. These are set out in **Appendix 1**, and summarised by department, by year, below:

Overdue Priority 1 Actions						
Audit report year	Council	Departmental Analysis				
		ASCPH	C&F	Place	CEx	Cross-cutting
Pre-2020/21	10	3	0	0	1	6
2020/21	10	0	0	0	2	8
2021/22	2	0	1	1	0	0
Total	22	3	1	1	3	14

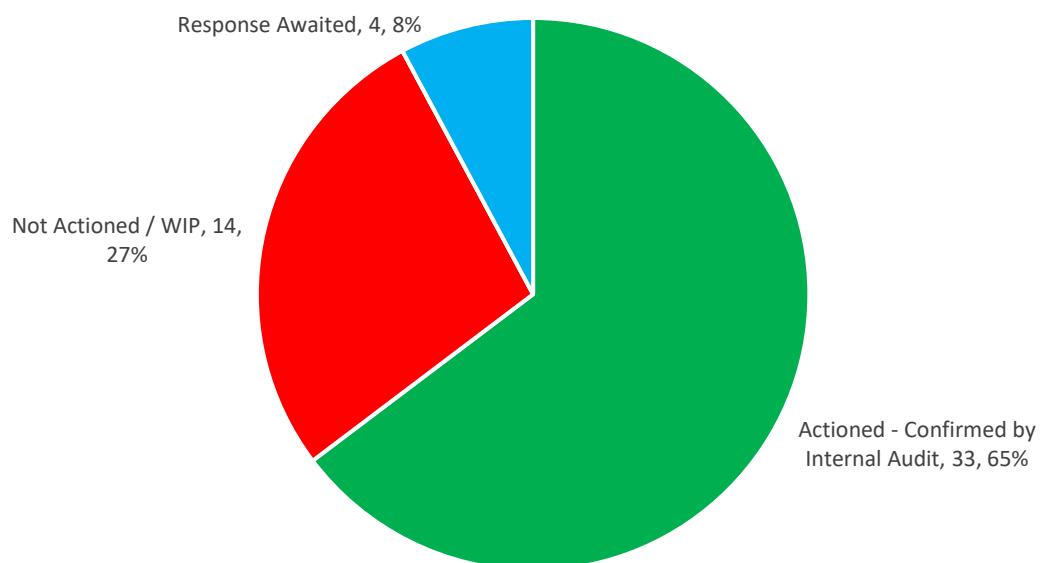
Priority 2 Actions

9. Progress with implementing Priority 2 actions over the last two financial years is summarised in the following pie-charts:

2020/21 Priority 2 Actions



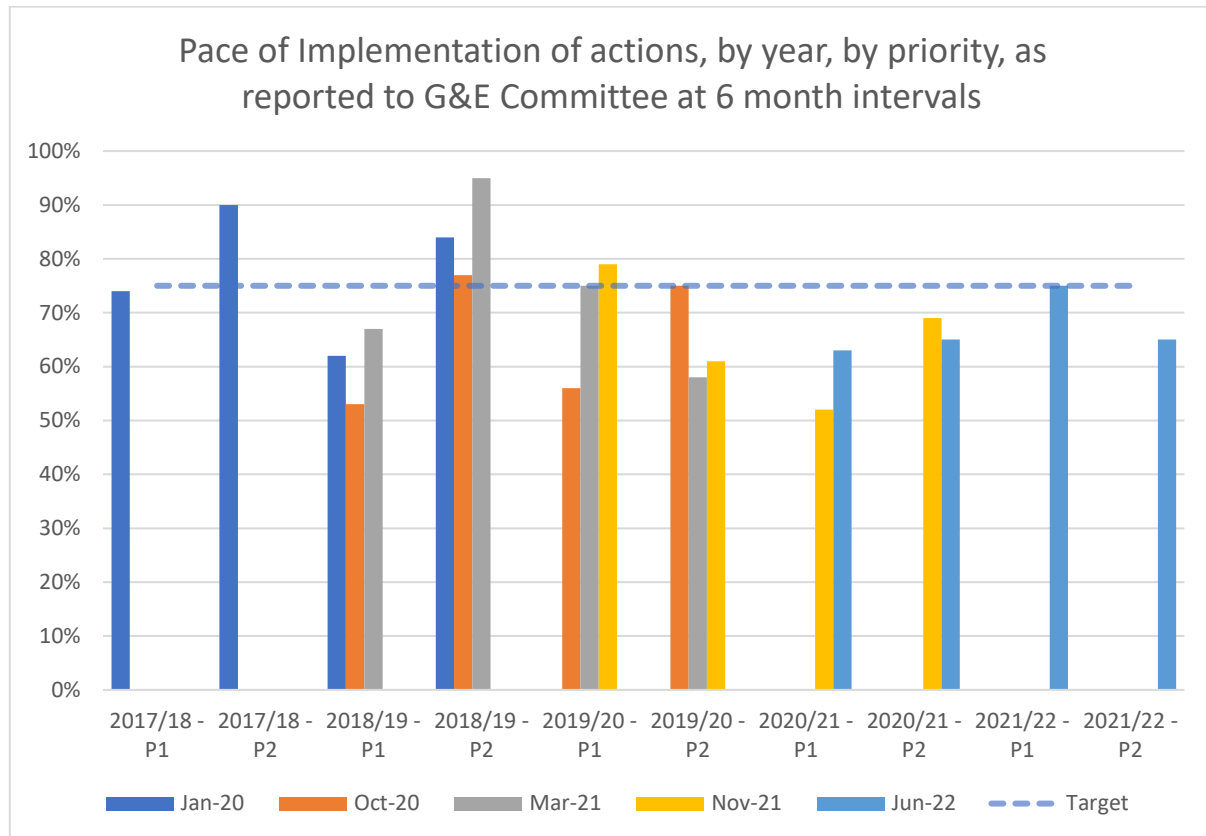
2021/22 Priority 2 Actions



10. The green segments confirm that the majority of Priority 2 recommendations from both financial years have been actioned. The red segments indicate there is more to do, again, partly affected by the pandemic.

Pace of implementation

11. For each financial year, a key performance indicator has been agreed for 75% of agreed Priority 1 and Priority 2 actions to be implemented on schedule. The following chart tracks the pace with which actions have been implemented since 2017/18, as reported to successive G&E Committees since January 2020, just before the outbreak of the pandemic:



12. Although trends are not obvious, successive reports to Committee from January 2020 to November 2021 indicated that the pace of implementation slowed. For example, the January 2020 data was closer to or exceeded the 75% target more than the subsequent data. However, there are now signs of improvement, especially in the implementation of priority 1 actions, which achieved the 75% target for 2021/22. Throughout, Internal Audit has sustained its requests for management updates, but is now starting to confirm, test, and clear the implementation of more agreed actions than before.

Management updates to the Governance & Ethics Committee

13. The continued drive and support from the Committee will be key in securing improved implementation rates going forward. Arising from the details presented in this report, the Committee may consider that it requires further updates and assurances from management at its next meeting in relation to one or more of the areas in which agreed actions remain outstanding.

Other Options Considered

14. No other options for obtaining the required assurances were considered at this time.

Reason for Recommendation

15. To enable the Governance & Ethics Committee to consider whether it has received sufficient assurance that actions in response to Internal Audit's recommendations are being implemented as agreed, or whether it considers that further and more detailed updates from management are required.

Statutory and Policy Implications

16. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Many of Internal Audit's recommendations are made with specific financial implications in mind. Such recommendations, and the associated management actions, are designed to secure effective governance, internal control, and risk management.

RECOMMENDATION

- 1) That the Committee note the contents of the reports and the progress that has been made against the Internal Audit recommendations.
- 2) That a further progress report and an update on those actions outstanding be included in the next 6-monthly review.

Nigel Stevenson

Service Director – Finance, Infrastructure and Improvement

For any enquiries about this report please contact: Simon Lacey, Interim Chief Internal Auditor

Constitutional Comments (CEH 11/05/2022)

The report and recommendation fall within the remit of Governance and Ethics Committee for consideration.

Financial Comments (SES 11/05/2022)

There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
Pre-2020/21 audit reports			
Pensions Administration (Chief Executive's Dept) – July 2018			
Reconciliation of payroll records with pension records Reconciliation to confirm pensions being paid are those that should be paid. <i>Risk: Unauthorised payments could go undetected.</i>	October 2018 for initial payroll reconciliation stage, which was for 2018. November 2021: Matching work was progressing. Discrepancies in the number and value of records between the two systems have been identified and were being investigated. This work was progressing alongside the complementary Guaranteed Minimum Payment (GMP) reconciliation project. Regular updates on progress with the GMP project had been taken to the Nottinghamshire Pension Fund Committee.	Progress with the reconciliation work has been assessed as part of the current audit of Pensions Administration. The Pension fund have reconciled the majority of the pension records with the pensioners on the pension payroll. The pension payroll data has also been loaded onto the Pension Administration system and records matched. Mismatches of payroll payments are being investigated, allowing the fund to identify any discrepancies.	Testing will be finalised when the current review of Pensions Administration is complete.
Ethical Framework (cross-cutting) – October 2018			
Register of Staff Gifts and Hospitality A consistent form of register for gifts and hospitality to be devised for use by all departments. <i>Risk: Staff may be unclear of rules and accept inappropriate gifts and hospitality without the knowledge or authority of management.</i>	March 2019 November 2021: Whilst there had been some work started on this matter, due to Covid-19, it had not been possible to progress things as intended.	May 2022 - Progress was hampered by staff changes, the Covid-19 pandemic and then the change in governance arrangements, where officers were focussed on other time critical work. However gradual work has been ongoing throughout and a revised electronic form has been developed for use by staff to record gifts and hospitality. Subject to changes in the Officer Code of Conduct, this will be ready for roll-out by Autumn 2022.	To be followed up in next 6 months.
Staff Declaration of Interest A standard template to record notifications of interests to appropriate managers. Staff to be reminded annually of the requirements regarding notifying interests and declaring interests in meetings. <i>Risk: There may be inadequate safeguards to prevent inappropriate</i>	As above November 2021: This was to be undertaken when the guidance had been implemented.	May 2022 - A revised electronic form has been developed for use by staff to notify any relevant interests to managers. Subject to changes in the Officer Code of Conduct, this will be ready for roll-out by Autumn 2022.	As above

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
<i>involvement by staff in decision making or access to documentation.</i>			
Information Governance Improvement Programme (cross-cutting) – December 2018			
Information Asset Register (IAR) Complete the IAR, and address the actions' log of issues identified by the register. <i>Risk: Sensitive personal information might be insecure or processed unlawfully.</i>	March 2020 September 2021 May 2022	Validation exercise undertaken under existing Data Protection regime with limited returns. Government launched consultation on new legislation to reform Data Protection legislation in UK post-Brexit. This would remove the obligation to undertake IAR and replace with more flexible risk based record keeping and personal data inventory. Queen's Speech signaled intent to reform UK Data Protection Legislation. Response to consultation by government and details of draft Bill awaited. The validation exercise on Information Asset Registers is on hold pending anticipated changes to data protection legislation. Meanwhile, the existing IAR continues to be updated as part of ongoing Data Protection Impact Assessment Process.	To be followed up in next 6 months.
Retention of records Facilitate and monitor compliance with rules for the retention of records. This is expected to be included in the next phase two of the programme. <i>Risk: as above</i>	As above November 2021: A report on the Information Governance risk register sent to the Information Governance Board in August 2021 described the risk of retaining data longer than necessary as probably the most intractable risk. It mentioned the need to develop a high-level business case for a corporate approach.	Retention continues to be the most intractable information governance risk. Electronic Document and Records Management Systems (EDRMS) are operational in two areas and planned in others, including a repeatable EDRMS process that can be applied across other business areas. Lessons are still to be learned from these. A new Retention & Disposal Standard has made destruction the default position when the retention period ends.	As above
Personal computer drives of leavers Review and remove personal drives for employees who have left. <i>Risk: as above</i>	As above November 2021: Removal of leavers' personal drives awaited the lifting of the Independent Inquiry into Child Sexual Abuse (IICSA) non-destruction order.	Removal of leavers' personal drives awaits the lifting of the IICSA non-destruction order, expected around October 2022. When it is lifted, they can be deleted 90 days after the employee has left.	As above

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
External Day Care Providers (ASCPH Dept) – December 2019			
Service provider tendering and contracting A competitive process to select new external day care providers to be undertaken (instead of ASCH Commissioning annually extending contracts beyond the duration of the framework agreement that expired March 2016). <i>Risk: Non-accredited providers may offer poor value for money and there may be breaches of procurement regulations.</i>	June 2020 November 2021: Covid-19 continued to impact this area. New contracts were issued to providers in April 2021 for one year under the same specifications as before, but were to be updated following the strategy feedback. The Commissioning Board agreed to extend these until March 2023 to allow for the strategy to be consulted on.	Further update received to confirm these intentions.	To be followed up in next 6 months.
Contract compliance – performance The relevant key performance indicators (KPIs) and quality standards to be a contractual requirement. <i>Risk: Providers may not fulfil their contractual obligations or be in breach of their contracts.</i>	As above November 2021: KPIs were to be in the new contract – see above regarding the timeline issue. (Audits of compliance with existing contract conditions had started again.)	As above	As above
Continuing Healthcare and Joint Funding (ASCPH Dept) – March 2020			
Formal approval by health partners ASCPH Commissioning and ASCPH Finance to continue to engage with health partners to reduce the backlog of Continuing Healthcare (CHC) Care Package Review forms (ACM33s), with the expectation they will start using Council's SharePoint system. <i>Risk: Inefficient working. Health partners may dispute or not pay their share of funding.</i>	April 2020 November 2021: A meeting was to take place within the next month to discuss the integration of the ACM33 form into Mosaic rather than having it in SharePoint. The ACM33 integration into Mosaic was seen as the first stage. It was hoped that our system and health partners would be able to swap information, as happens with some other systems, so transfer and approval could be made more efficient.	In terms of ACM33s awaiting Clinical Commissioning Group (CCG) sign off, the Senior Commissioning Officer (CHC) is advised this is around 1,300, with some dating back to 8/4/2019. These are chased by Business Support, and are considered to be low risk, as the schedule is agreed quarterly by Finance and the CCG.	Late response - To be assessed and followed up in next 6 months.

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
Budget Forecasting (cross-cutting) – March 2020			
Training A training package is being developed. This will be available as on-line training and will include updated guidance on the expectations of budget holders and approvers. <i>Risk: Where staff are not fully aware of their roles and responsibilities or properly trained, inaccurate forecasts may be produced.</i>	September 2020 November 2021: Additional Covid 19 work had meant insufficient resources to progress this. Specific guidance was being offered as required.	The proposed change in Governance arrangements has meant that Finance have been reviewing and updating Financial Regulations which has taken priority. The intention is to include updated Financial Regulations in the training and expect to undertake this after year-end activities have been concluded.	To be followed up in next 6 months.
2020/21 audit reports			
Commissioning (cross-cutting) – June 2020			
Alignment with corporate and strategies and objectives A schedule of commissioning activity to be aligned with strategies and objectives, and progress to be periodically reported. Consideration for developing market position statements. <i>Risk: Slippage in commissioning undermines the achievement of service and corporate objectives.</i>	October 2020 November 2021: The establishment of the ASCPH Commissioning Board ensured that there would be good oversight of its forward commissioning and procurement plan. Moving forwards, the Strategic Commissioning Underpinning Cross-Council Programme would act as an enabler to joining up commissioning activity across the Council. The first phase was expected to be completed by the end September 2022.	This was expected to be completed by end September 2022, but the programme was paused because of demand pressures caused by the Omicron variant and pressures on the home care market.	To be followed up in next 6 months.
Commissioning Project Management Draft commissioning plans to be circulated between departmental commissioning boards, panels and teams and also a cross-departmental Expert Commissioner group. <i>Risk: Opportunities for joint working and commissioning are missed at the operational level.</i>	As above November 2021: An output of the first phase of the Strategic Commissioning Underpinning Cross-Council Programme would be the publishing of the Council's commissioning intentions. Departmental and Public Health representatives had been put forward to be part of a group that would be undertaking a series of workshops to challenge and improve the	This work was paused in early December 2021 due to demand pressures caused by the Omicron variant and pressures on the home care market. This work recommenced in April 2022.	As above

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
	Council's strategic commissioning processes. Work was to commence in November 2021.		
Training and quality control A framework of commissioning courses ranging from basic to advanced, sourced either internally or externally, to be established and rolled out. <i>Risk: The quality of commissioning activity varies across the organisation.</i>	As above November 2021: A cross-departmental task and finish group of commissioners would be carrying out a skills audit and develop a training plan to deliver the organisational development and cultural change as part of the adoption of the Strategic Commissioning Framework and Toolkit. Launch of framework, toolkit and training plan – April 2022.	This action is now expected to be complete in October 2022.	As above
Databases and data analysis Commissioning groups and teams to review the data analytical skills required of staff and consider options for addressing skills gaps. <i>Risk: Best practice is not promoted, resulting in sub-optimal outcomes.</i>	As above November 2021: The current Strategic Commissioning Programme would be supported by a Business Analyst from the Strategic Insight Unit. As the Programme progressed, there would be learning and recommendations made on how Strategic Commissioning could best be supported going forwards.	Learning and recommendations will be identified as part of the first phase of the programme that is now expected to be completed by end December 2022.	As above
Governance arrangements An Expert Commissioning Group to be formed and hosted by Corporate Procurement to promote best practice, provide peer review, and develop a commissioning training structure for the organisation. <i>Risk: As above</i>	As above November 2021: The Strategic Commissioning toolkit would be launched to set out best practice to help officers lead or support a commissioning cycle, offer tools and techniques for effective strategic commissioning and advance a culture of continual improvement. Launch of framework, toolkit and training plan – April 2022.	Launch of framework, toolkit and training plan is expected in October 2022.	As above
Business Continuity Planning (BCP) (cross-cutting) – August 2020			
Training	March 2021	May 2022	Testing to be commence within next 6 months.

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
<p>The Emergency Planning Team to submit a report to the Risk, Safety and Emergency Management Board (RSEMB) on training options and other matters arising from the returned questionnaires.</p> <p><i>Risk: Lack of engagement from BCP managers and ineffective actions taken in the event of an emergency.</i></p>	<p>November 2021: Covid-19 response and recovery activities continued to dominate the priorities of the Emergency Planning Team, alongside statutory imperatives such as our Safety of Sports Grounds work. As a consequence the position remained pending until Covid-19 response and recovery work permits.</p>	<p>Covid-19 response work has now receded. (debriefing work to follow). Other priority emergency planning work will further delay completion of this specific action, however:</p> <ul style="list-style-type: none"> The RSEMB discussed NCC Critical Service list in March 2022, and agreed this will be updated through departments. <p>An ICT Business Continuity exercise is scheduled with RSEMB on 9th June.</p>	
<p>BCPs on SharePoint</p> <p>Managers of critical services in the ASCPH and C&F Departments need to produce BCPs for the 10 critical services currently without one. Once completed they need to be uploaded onto SharePoint.</p> <p><i>Risk: Services deemed as critical do not have an action plan in the event of an emergency.</i></p>	As above	As above	As above
<p>Annual Reviews of BCPs</p> <p>Managers of critical services to ensure that BCPs to be reviewed, updated, and made subject to training exercises.</p> <p><i>Risk: Actions taken in response to an emergency situation are not effective, exposing the Council and its service users to prolonged disruption.</i></p>	As above	As above	As above
Active Directory (AD) (Chief Executive's Dept) – March 2021			
<p>AD Administrative Accounts</p> <p>An AD audit tool to be brought in and reports from this to inform the decision to revoke any unnecessary access.</p> <p><i>Risk: A compromised privileged AD administrator could control over wide</i></p>	<p>August 2021</p> <p>November 2021: We made some inroads but the lead engineer tasked with implementation was re-directed onto a project/program called Investing In Notts which involves setting up technology to</p>	<p>Still in progress due to competing priorities and resulting resource limitations. However, a new tool called AD Audit and a subsequent tool called AD Manager were purchased and have been in place for around 12 months. This tool allows a deep dive into group memberships to review changes and accesses, and is currently</p>	<p>To be followed up in next 6 months.</p>

Overdue Priority 1 Actions

Appendix 1

Agreed action and risk	Original implementation target and position at November 2021	Latest progress update	Internal Audit follow-up
areas of the IT infrastructure, systems, resources and data.	accommodate hybrid meeting rooms, seen as an organisational priority. The recommendations would become a priority for the lead engineer when the work for Investing in Notts had been completed.	being used by our security architect to overhaul high level administrator access to AD, subsequent data and access to systems. User activity logs are now retained for longer than identified in the audit and can be used for investigations or troubleshooting.	
AD Periodic Maintenance A new process to be developed to use the AD auditing tool to identify stale accounts, organisational units and security groups. <i>Risk: Poor management and clean up procedures can leave organisations exposed to cyber attacks and result of costly data breaches.</i>	As above	As above	As above
2021/22 audit reports			
Adoption and permanence (C&F Dept) – May 2021			
Line management of activities To address responsibilities through a departmental review of permanence and kinship arrangements. <i>Risk: Financial support is determined by staff in different teams, some of whose role is not designed to carry out this work, causing a potential lack of control over the process.</i>	March 2022	A Kinship Support service was approved in March 2022 and will bring together the staff who determine financial support payments. The Payments Team Leader post and grade have been re-evaluated.	To be followed up in 6 months to confirm implementation.
Sale of land and building properties (Place Dept) – November 2021			
Asset Management Plans To develop the Service Asset Management Plans. <i>Risk: The property requirements of the Council may be unclear.</i>	March 2022	Some progress was made on Service Asset Management Plans before Covid-19 but these were not completed as services concentrated elsewhere. A restart is planned in part of the Children's department - children's homes and disability homes.	To be followed up in next 6 months.

9 June 2022**Agenda Item: 11****REPORT OF GROUP MANAGER, LEGAL, DEMOCRATIC AND INFORMATION
GOVERNANCE****REVIEW OF PETITIONS SCHEME****Purpose of the Report**

1. To consider amendments to the petitions scheme in light of the change in governance model to a Leader and Cabinet (Executive) arrangement.

Information

2. The current petitions scheme was reviewed in September 2018. The change in May 2022 in the governance model to an Executive arrangement means that the scheme needs to be amended as service Committees that would have considered petitions have been replaced with Cabinet Member portfolios.
3. There is no longer a statutory requirement to have a petitions scheme, however the petitions scheme is well used and is an effective route for the public to engage with the Council on matters they wish to raise. The newly revised Constitution sets out the process for petitions to be presented to the Chairman at Full Council and then passed for consideration to the relevant Cabinet Member.
4. A number of minor changes are proposed to the scheme:
 - a. That petitions presented at Full Council will be passed to the appropriate Cabinet Member for consideration (instead of to a Committee);
 - b. Clarification that petitions will initially be reviewed against any Council policies, procedures or legislation and a response provided; and
 - c. If further consideration of the petition is needed examples of the steps that might be taken to gather information in order to respond to the petitioner.
5. The revised petitions scheme is included in the Appendix.

Other Options Considered

6. Whilst there is no longer a statutory requirement for a petitions scheme, the petitions process has been retained as it is well used and is an effective way for the public to engage with the Council and raise matters that they wish the Council to consider.

Reason/s for Recommendation/s

7. To update the scheme following the change in governance model to a Leader and Cabinet (Executive) arrangement.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Data Protection and Information Governance

9. The storing of information contained within a petition is done in compliance with the Council's privacy notice.

RECOMMENDATION/S

- 1) To approve the amendments to the Council's petitions scheme.

Heather Dickinson

Group Manager, Legal, Democratic and Information Governance

For any enquiries about this report please contact:

Catherine Haywood, Senior Solicitor
catherine.haywood@nottscc.gov.uk

Constitutional Comments (SSR 16/05/2022)

10. The recommendations fall within the scope of matter which may be approved by Governance and Ethics Committee

Financial Comments (SES 13/05/2022)

11. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

PETITIONS SCHEME

1. The County Council welcomes petitions and recognises them as an important way people can let us know their concerns.
2. Petitions must be about issues that affect Nottinghamshire and be relevant to the services provided by the County Council.
3. To send us a petition you must contact your local County Councillor to act as your representative to present the petition to a meeting of the County Council. You can find your local Councillor here:

<http://www.nottinghamshire.gov.uk/council-and-democracy/councillors/contact-a-councillor>.

4. County Council meetings take place on a regular basis. Dates and times can be found here:

<http://www.nottinghamshire.gov.uk/dms/Meetings.aspx>

- 3-5. Your County Councillor will talk you through the process for submitting a petition. The petition should be handed over to a County Councillor at least 2 working days before the meeting that you would like it presented to.

- 4-6. If you prefer, you can send your petition to Democratic Services at County Hall, who will ensure it is directed to your local County Councillor. Receipt of the petition will be acknowledged to the petition organiser.

WHAT ARE THE GUIDELINES FOR SUBMITTING A PETITION?

- 5-7. Petitions submitted to the County Council should include a clear and concise statement covering the subject of the petition. The petition should state:

- a. what action the petitioners wish the Council to take
- b. the name, post code and signature of any person supporting the petition (minimum of 10 signatures required)

- 6-8. Other procedures apply if the petition is about:-

- a. a planning, licensing and rights of way matter, which would be considered as part of that process. You may be able to speak at the committee meeting which considers the matter. More information on this can be found at <http://www.nottinghamshire.gov.uk/planning-and-environment/planning-applications/what-happens-in-a-planning-meeting>
- b. formal consultation responses, for example the Council's annual budget, when the petition would be considered as part of the budget consultation process

- c. a statutory petition (for example requesting a referendum on the County Council's governance arrangements)

d. a matter where there is an existing right of appeal, as the decision does not sit with the Council.

7.9. If you are considering submitting a petition regarding a highways matter, there may be an alternative process for the issue you wish to raise. For example, a residents parking scheme proposal can be submitted online. Information can be found at <http://www.nottinghamshire.gov.uk/transport/roads/make-a-new-highways-request>

8.10. If a petition is judged by the Monitoring Officer, in consultation with the relevant [Cabinet Member committee chairman](#), to be vexatious, abusive or otherwise inappropriate, or if it does not follow the guidelines set out in the scheme, the County Council may decide not to do anything further with it. In such cases, we will write to you to explain the reasons.

9.11. Petitions must be accompanied by contact details – including an address – for the petition organiser. This is the person we will contact to explain how we will respond to the petition. In providing this information, the lead petitioner will only be contacted in relation to the petition and their information will not be used for any other purpose.

10.12. Your petition must be signed by at least nine other people from a different address and everyone signing the petition must provide their name, post code and signature. This information may be checked by the County Council. The information will only be used in relation to consideration of the petition and not for any other purpose.

E-PETITIONS

11.13. The County Council welcomes e-petitions. E-petitions must follow the same guidelines as paper petitions.

WHAT WILL THE COUNCIL DO WHEN IT RECEIVES MY PETITION?

14. The local County Councillor will formally present the petition in public at a meeting of the County Council. The Vice-Chairman of the County Council may present the petition if it concerns more than one electoral ward. The petition will then be passed to the appropriate [Cabinet Member committee](#) to provide a response [to the petition organiser](#). ~~Members of the public are entitled to attend Committee meetings unless exempt information is being discussed. We will confirm the committee's response to the petition organiser. We will also report~~

15. [The response to a petition will depend on what a petition asks for. Initially the petition will be assessed in accordance with any Council policies, procedures and legislation requirements that may apply, and a response to the petition will be provided.](#)

16. If further steps are needed in order to respond to the petition these may include:

- a. Considering the petition at a Council meeting
- b. Undertaking research into the matter
- c. holding a meeting with Officers
- d. holding a meeting/consulting with stakeholders
- e. holding a meeting with the petitioners
- f. referring the petition for consideration by the relevant Overview or Select Committee who are responsible for scrutinising the work of the Council.

~~42.17.~~ tThe response to the petitioner will be reported to Full Council.

PRIVACY

~~43.18.~~ Nottinghamshire County Council is committed to protecting your privacy and ensuring all personal information is kept confidential and safe – for more details see <http://www.nottinghamshire.gov.uk/global-content/privacy>

Agreed by Governance and Ethics Committee – 26th September 2018
Scheme updated at Governance and Ethics Committee - 9th June 2022

9 June 2022**Agenda Item: 12****REPORT OF THE SERVICE DIRECTOR, CUSTOMERS, GOVERNANCE AND
EMPLOYEES****UPDATE ON USE OF THE COUNCILLOR'S DIVISIONAL FUND****Purpose of the Report**

1. To present Committee with an annual update on the use of the Councillor's Divisional Fund (CDF) for the period of 1 April 2021 to 31 March 2022.

Information

2. The CDF is a specific budget which enables each County Councillor to put forward proposals for expenditure in their electoral divisions which accord with the strategic objectives of the Council. Such payments are subject to compliance with the requirements of the agreed CDF Policy.
3. Each Councillor is allocated up to £5,000 to spend within each financial year. Any funds remaining unspent within this budget at the end of the financial year are returned to corporate balances.
4. The CDF payments that were made in 2021/22 are set out in **Appendix A** to the report (payments to individuals have been anonymised where relevant). These payments were made in line with the Policy agreed by Policy Committee on 18 July 2018.

New Policy and electronic system

5. Following an audit undertaken by Internal Audit in 2021, a revised CDF Policy was agreed by the Governance and Ethics Committee at its meeting on 10 March 2022, taking effect from 1 April 2022. Future update reports will therefore be based on the revised scheme.
6. A new hard copy application form has been developed and circulated to Members. At the current transitional point, there are still some applications being submitted using the old forms. A reminder has been sent to all members of the Council providing additional guidance on completing the new form to ensure that it contains all necessary information and to advise them that 6 June 2022 would be the cut-off point for using the old forms.
7. The new Policy was intended to be accompanied by a new electronic 'self-serve' system for Members. Officers have continued to work on this and the system will shortly be at a point where it is ready for testing. In line with previous discussions at the Committee, it is proposed

that the Committee's Members be utilised as the focus group used to test the pilot system and to feed views back in to help shape its production.

Annual Audit

8. In light of the wider audit having already been undertaken by Internal Audit in 2021, the findings of which were reported to Committee as part of the new Policy's development, Democratic Services did not undertake the normal small sample annual audit in this financial year.
9. The new electronic system will be designed to help inform next year's audit by Democratic Services, including those categories where Members have agreed additional monitoring is required (for example payments to individuals).

Other Options Considered

10. None – the report provides an update on expenditure as required by the CDF policy.

Reason/s for Recommendation/s

11. To update the committee in line with the requirements of the CDF Policy.

Statutory and Policy Implications

12. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That the Committee notes the CDF expenditure for the period 1 April 2021 to 31 March 2022 detailed in Appendix A to the report.
- 2) That Members note the need to use and fully complete the new CDF application forms, in line with the revised Policy 6 June 2022 onwards, after which use of the old forms would not be accepted.
- 3) That, once the test site is ready, the Committee's Members be sent a link to enable them to access and test the pilot system, to help inform its development.

Marjorie Toward

Service Director, Customers, Governance and Employees

For any enquiries about this report please contact:

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E-mail: keith.ford@nottsgov.uk

Constitutional Comments (EKH 19/05/2022)

13. Governance and Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments (RWK 19/05/2022)

14. There are no specific financial implications arising directly from this report. The total budget for the Councillors Divisional Fund is £329,000. Any funds remaining unspent within this budget at the end of the financial year will be returned to corporate balances.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Budget summaries of CDF payments
- CDF policy

Electoral Division(s) and Member(s) Affected

- All

CDF Applications received from Councillors - 1 April 2021 – 31 March 2022

N.B. Payments to individuals not trading as businesses have been anonymised in line with Access to Information Rules.

<u>Councillor & Recipient</u>	<u>Amount £</u>	<u>Reason for application</u>
Cllr Reg Adair		
St Peters C of E Junior School	750.00	Contribution towards the Dyslexia friendly / reluctant reader library project
James Peacock Infant School	750.00	To support a positive behaviour award scheme throughout the school
Ruddington Baptist Church	1,000.00	To install a defibrillator at Musters Road Ruddington
East Leake Playing Fields	2,500.00	Contribution towards the rebuilding of the sports pavilion
Cllr Mike Adams		
Burton Joyce Parish Council	2,000.00	Contribution towards a Fusion Spinner for Roberts Recreation Ground
Gedling Youth & Community Hub	296.00	To purchase a plaque to signify that JRR Tolkien visited his Aunt Jane Neave there
Via East Midlands Ltd	2,704.00	Installation of electrical supplies for Christmas Trees at Coronation Walk, Gedling and St Lukes Way, Stoke Bardolph
Cllr Pauline Allan		
Gedling Football Club (U14 Warriors)	300.00	Contribution towards football kit and equipment for the team
St Mary's Church	100.00	For the purchase of a rice cooker to support St. Mary's Community Friday Kitchen
We R Here	250.00	Contribution towards professional training for volunteers
Warren Action Group	1,000.00	Contribution towards Christmas events for the community
Bonington Players	500.00	Towards the setting up of social distancing audiences and the general diminishing of receipts due to Covid
Friends of Bestwood Country Park	200.00	Contribution towards an Ebac dehumidifier for Dynamo House as the building is very damp
Arnold Local History Group	500.00	For an exhibition in the Autumn, which is estimated to cost £800.
We R Here	500.00	To fund counselling sessions with clients
Arnold in Bloom	500.00	Contribution towards initiative to get children involved in planting
Emmanuel Church	500.00	Funding to improve quality/range of the free takeaway meals from the St. Albans community kitchen

St Mary's Church	650.00	Contribution towards Activity Week, Messy Church and the Youth Club
Cllr Sinead Anderson		
The Christmas Light Fund	500.00	To provide Christmas lights for the Pleasley Christmas Lighting Fund
Ladybrook Christmas Light Fund	500.00	To purchase Christmas decorations for Ladybrook ward (Christmas lights)
Jigsaw Support Scheme	500.00	To purchase resources to support sessions at the Jigsaw Charity which supports members with mental health issues
The Methodist Church, Chesterfield Road South	1,000.00	Contribution towards the food bank to support local residents and a coffee morning for elderly local people that have no family or friends
The REAL Foundation Trust	750.00	To purchase equipment for the 'Free Time' after school enrichment clubs
Ladybrook Enterprises Ltd	750.00	To purchase materials and resources to start a sewing programme for vulnerable members of the community
Wainwright Primary Academy	1,000.00	To fund materials and equipment to support enrichment activities around mental health and wellbeing
Cllr Callum Bailey		
Carlton in Lindrick Parish Council	905.00	To purchase a bench in honour of the Queen's Platinum Jubilee
North Nottinghamshire Community First Responders	2,000.00	Towards the cost of equipment for the Community First Responders volunteers
Worksop's Got Talent	500.00	To support the general costs of the fundraising event in 2022
S.S.B.K Martial Arts	348.34	Towards equipment , defibrillator pads and battery for the Carlton in Lindrick Judo Club
Scorpion Taekwondo	946.66	Contribution to the purchase of equipment and kit for the Carlton In Lindrick group
Worksop Military Veterans and Families Support Group	300.00	Contribution towards the purchase of equipment and refreshments for events supporting Military Veterans and their families in Worksop North
Cllr Matt Barney		
Kingston on Soar Village Hall	395.60	To provide an outdoor socket and signage at Kingston on Soar Village Hall
Normanton on Soar Parish Council	450.00	Contribution towards the repair of the Ferry Hut roof
East Leake Community Care Association	350.00	Contribution towards room hire for 2 community social gatherings each week to relieve loneliness and support those impacted by dementia

Kingston on Soar Parish Council	300.00	To provide and plant a memorial tree at Kingston on Soar green.
East Leake RFC	400.00	To provide a much-needed storage container for equipment.
East Leake Parish Council	300.00	Contribution to East Leake History Society for the publication of a book 'History of Evacuees in East Leake
Kingston on Soar Parish Council	250.00	Contribution towards a jacket potato oven for the Village Hall
Barton in Fabis Parish Council	285.00	Funding for an attractive finger post sign for the village
Thrumpton Parish Meeting	400.00	To fund a new village sign for the Jubilee
Gotham Sports Arena	500.00	Contribution towards replacement goal posts, nets and other sporting equipment that are in a poor state of repair
East Leake Playing Fields	1,019.40	Contribution towards the rebuilding of the sports pavilion
Sutton Bonington Playscheme	350.00	To provide much needed support funds to the annual village playscheme
Cllr Chris Barnfather		
Bestwood Village Women's Institute	250.00	This is a one-off cost to support the continued existence of the branch
Linby Parish Council	250.00	To support the purchase of a Christmas Tree and the purchase and installation of Christmas Lights for popular village event - Carols Around the Tree
Newstead Events Group	250.00	To support Newstead Village Fireworks and Bonfire Display and associated craft works.
Ravenshead Parish Council	250.00	To contribute towards Ravenshead Christmas lights
Ravenshead Parish Council	200.00	To contribute towards temporary sports coaches for organised sports
Via East Midlands Ltd	155.00	Grit Bin for Fairfield Drive, Newstead Hospital site
Papplewick and Linby Cricket Club	300.00	To support a bursary scheme to train young players as coaches and coaching assistants
Newstead Youth Club	220.00	To provide sports equipment for Newstead Village Youth Centre
Bestwood Village Parish Council	250.00	Support funding for additional Christmas lights and lamp-post displays for the village Christmas light switch-on event
Bestwood Village Parish Council	250.00	Support funding of bonfire/fireworks event including the use of silent fireworks
Via East Midlands Ltd	220.00	H-Bar for High Leys Drive, Ravenshead
Ravenshead Parish Council	200.00	To purchase a community gazebo to be used at local community events

Ravenshead Parish Council	200.00	Funding towards Queen's Platinum Jubilee celebrations
Linby Parish Council	200.00	Funding towards Queen's Platinum Jubilee celebrations
Bestwood Village Parish Council	200.00	Funding towards Queen's Platinum Jubilee celebrations
Papplewick Parish Council	200.00	Funding towards Queen's Platinum Jubilee celebrations
Ravenshead Parish Council	300.00	Contribution towards tennis court time and rackets/balls for young people to have taster sessions in the Easter / Summer holidays
Ravenshead Community Transport	200.00	Towards costs for room hire and ancillary costs, including postage and stationery for AGM of voluntary Community Transport Group
Newstead Parish Council	400.00	Contribution towards Queen's Platinum Jubilee celebrations
A H	255.00	To assist a young person to attend the World Scout Jamboree in South Korea
L B	250.00	To assist a young person who has been selected to play for England at the International Series in Dubai
Cllr Ben Bradley MP		
Mansfield Lawn Tennis Club	300.00	Improvements to the club's floodlight system, making the courts more accessible
SHE UK	500.00	To purchase 3 Zoom licences for Peer support work, as well as safeguarding training for new volunteers, to help survivors of childhood sexual abuse
Mansfield Woodhouse Community Development Group	400.00	To support the Christmas light installation and switch-on event, and a local interactive speed sign
Mansfield Woodhouse Community Development Group	800.00	To support the Christmas light installation and switch-on event, and a local interactive speed sign
The Ramblers Association	200.00	To purchase litter picking equipment – Pickers, bags, gloves etc.
The Peaceful Trust	1,000.00	To pay for a number of Memory Café Sessions and to provide a bus trip to Black Country Living Museum for 19 group members
Park Hall Road Allotments	800.00	To purchase a 10 x 8 shed to house allotment equipment and a garden shop for allotment holders and members of the public to purchase compost, fertiliser etc
St Peters Centre	1,000.00	To help with a number of projects. pest control for woodworm, replace aluminium windows and to repair the ceiling in the toilet
Cllr Richard Butler		
E P	250.00	To support an end of term leavers celebration at Cotgrave C of E Primary School

Kinoulton Village Produce and Craft Fair	250.00	Contribution towards the cost of holding a village produce and craft fair in September 2021
K R	100.00	To support a young person who has been selected to represent England at The Dance World Cup in Telford, towards travel, accommodation, and clothing
Tollerton Parish Council	300.00	Contribution towards a defibrillator to be installed at the Tollerton Open Space / Play Park area
Cotgrave FC Football Club	350.00	To support the purchase of a portable defibrillator
1st Tollerton Scout Group	600.00	Contribution to the cost of installing outdoor lighting at the scout hut premises to allow safer outdoor activities
Tollerton Primary School	450.00	Contribution to the cost of some movable "Warning children/careful parking signs" which will be placed near the school entrance at key times
Kinoulton Primary School Parent Teacher and Friends Association	400.00	To support Christmas festivities at the school including a Christmas puppet show for the children and families
Normanton on the Wolds Parish Council	500.00	Contribution to the cost of a defibrillator
Hollygate Park Residents Group	100.00	Contribution to the cost of the residents' group's Christmas event – prizes and chocolates/treats/a visit from Santa for the children at the playpark
Friends of Cotgrave Country Park	340.00	Contribution towards way marker posts and flags for use in Cotgrave Country Park to help guide visitors along appropriate paths
Ash Lea School	500.00	Contribution to the school's outdoor learning and forest skills venture
Cotgrave & District U3A	500.00	Contribution to cost of display and information boards/material to show what the U3A does and raise awareness with the community
Cotgrave Wiggle & Giggle Baby Parents Group	225.00	Contribution towards facilities and refreshments for the Group
Cotgrave Women's Institute	135.00	Contribution towards supplemented educational visits and programme of activities to provide opportunities to socialise
Cllr Anne Callaghan BEM		
Mansfield Lawn Tennis Club	300.00	Link up the floodlights to the online system which will allow pay & play in the evenings
Mansfield Wildlife Rescue	500.00	To purchase new aviaries and Hedgehog hutches for the new larger building at the Rescue Centre
Mansfield Woodhouse Community Development Group	1,200.00	To support the Christmas light, switch on, purchase of a Christmas tree, and a musical event for the Mansfield Woodhouse community

St Edmunds Primary School	400.00	To support families that cannot afford for their children to take part in offsite school activities
The Peaceful Trust	500.00	To go towards days out including coach fees for a group of elderly residents who are all impacted on a daily basis by dementia
Move it or lose it	300.00	To purchase bendable/hedgehog balls and resistance bands to support different abilities
Disability Nottinghamshire	500.00	To support more people requiring help and advice from Disability Nottinghamshire via phone or in person
Hetty's	1,000.00	To support children and families in dealing with issues in their everyday life involving substance and alcohol misuse
Transform Training LTD	300.00	To support youngsters access training who are struggling to access full time education
Cllr André Camilleri		
Frenbot Football Charity	300.00	To purchase football kit and equipment for children's team. These Children are from under privileged families
Friends of Berry Hill Park	400.00	To purchase equipment and fencing that will be used to protect the newly planted communal orchard at Berry Hill Park
Little Explorers	300.00	For equipment and toys for the under 3s playgroup
St Marks Toddlers Group	300.00	For equipment and toys for the under 3s toddler group
Care and Share Support Group	400.00	For outings for a dementia group and Christmas get together
Sunbeams	400.00	For equipment and toys for the under 3s toddler group
Via East Midlands Ltd	301.45	Installation of traffic bollard, Forest Road Mansfield
Maun Conservation Group	500.00	To purchase tools and equipment to clear and maintain riverside walk
Men in Sheds	500.00	To provide machinery and equipment for workshop
6th Mansfield Brownies	200.00	Contribution towards craft equipment and activities at the Brownies camp
Mansfield and Ashfield Echo	200.00	To supply audio CD's for partially blind residents for news and information
Hetty's	600.00	to provide new furniture and office equipment that they will need as they move to new offices
King Edward Primary School	598.55	To purchase tickets for the 'Razzle Dazzle Club' to see a show at the Theatre Royal
Cllr Scott Carlton		
Wellow St Swithins Schoolroom Trust	150.00	To be used on the final stages of renovations, chiefly relating to an exterior boundary wall

Clipstone Colliery Bowls Club	1,000.00	To purchase kit and equipment to renovate the playing surfaces and club house
Edwinstowe Running Club	590.00	To purchase kit and equipment to enable a group to set up a community club
Edwinstowe Parish Council	1,500.00	Contribution towards replacing the skateboard park as the old one is wooden and rotten
Edwinstowe Cricket Club	1,260.00	To purchase CCTV for the club
Rufford Parish Council	500.00	Contribution towards a new village notice board for the Parish Council
Wellow St Swithins Schoolroom Trust	150.00	To be used on the final stages of renovations, chiefly relating to an exterior boundary wall
Cllr Steve Carr		
Community Heartbeat Trust	2,605.00	Provision of heart defibrillator at Central Avenue shops
Beeston & District Civic Society	1,000.00	Funding towards the completion of a skate-park in the Bramcote & Beeston North Division
Broxtowe Borough Council	400.00	Part costs of bike register kits for over 100 people in my division. In conjunction with Broxtowe Borough Councils newly adopted Cycle Theft Prevention action plan
The Pearson Centre for Young People	348.40	Cost of printing tickets and programmes for annual pantomime
15th Nottingham Scouts	646.60	To purchase camping equipment
Cllr John Clarke MBE		
We R Here	1,000.00	To provide funding for a series of events over the summer aimed at vulnerable families within the community
Jazzhouse Nottinghamshire Ltd	500.00	To provide improvisation sessions and workshops for the local community
Nottingham Organ Society	500.00	For producing publicity for upcoming events
Friends of Breck Hill Park	1,000.00	Purchase trees and other sundry items for the community orchard
Positively Empowered Kids CIC	500.00	Community Group activities (nature walks, crafts etc), Family Wellbeing Hub and Youth Voice in Action activities in Arnold
We R Here	1,000.00	to provide additional resources for families affected by domestic abuse
Carlton Operatic Society CIO	500.00	Support the production of 'Shrek' for the purchase of the prosthetics for the principal character
Cllr Neil Clarke MBE		
1st Shelford & East Bridgford Scouts Group	250.00	To replace fencing either side of the footpath which runs between the field leased by the Scout Groups

Sheldon Fields Committee	200.00	Contribution towards the purchase of materials for construction of a new football bridge
Cropwell Bishop Youth Club	200.00	To purchase treats and hire entertainment equipment for Christmas Party for children in Cropwell Bishop community
Bingham Community Events Group	500.00	Contribution towards the 'Bingham fair' to support classic car and bike show
Bingham Community Events Group	650.00	To support Bingham Christmas market, in particular entertainers & stilts robot
Blue Circle Barnstone Bowls Club	1,000.00	Contribution towards a defibrillator for the club
Newton Community Group	470.00	Contribution towards a stall for the Newton Community Day - a family fair & sports day
Bingham Cricket Club	1,330.00	Contribution towards the purchase of a grass scarifier
Colston Bassett Village Hall	400.00	To purchase HIVE electrical controls to improve efficiency
Cllr Robert Corden		
Forest Town Nature Conservation Group	100.00	To purchase wildflower seeds for a new pollinator habitat at Spa Ponds Nature Reserve, to support biodiversity and improve visitor experience
Frenbot Football Charity	250.00	To purchase football kit, bibs, footballs and training equipment for volunteers for the July 2021 Charity match
Bellamy Estate Christmas Funday	200.00	For the purchase of a small marquee for "Santa" to shelter under and for the purchase of gifts for the local children who attend the event on Saturday 18th
Men in Sheds	500.00	For the purchase of tools and equipment to be used by the service users of the Centre
Family Action	1,000.00	To purchase food frequently missing from food boxes and recipe bags
Making It! Enterprises Ltd	500.00	Purchase a projector, IT equipment and office furniture to allow the charity to work more effectively within the Mansfield community
Via East Midlands Ltd	155.00	Grit bin Clipstone Road West (Forest Town School)
Mansfield Wildlife Rescue	500.00	Contribution towards equipment to set up a Community Cafe
St Albans Church Forest Town	500.00	To purchase equipment and initial consumables in order to set-up a "place of welcome" for the Forest Town community
Hetty's	500.00	To Install security lights and purchase additional desks and chairs for new premises
The Patchills Centre	500.00	Purchase of outdoor furniture for use by the residents to allow them to utilise the sensory garden

Friends of Bellamy	295.00	Costs of running the Jubilee Sports Day, including hire of Bouncy Castles, PA Equipment and refreshments for the children
Cllr John Cottee		
Crossdale Primary School	600.00	To help contribute to support Keyworth Primary School to support the provision of drumming for disadvantaged children
Wysall & Thorpe in the Glebe Parish Council	200.00	To contribute towards the purchase of three picnic tables for the Parish Council
Costock Parish Council	200.00	Contribution towards marquee hire and other costs for the Queen's Platinum celebrations next year
Rempstone Parish Council	250.00	Costs of upgrading the transmitter and receiver for the Wysall Lane CCTV cameras
Widmerpool Parish Council	200.00	A village hall celebration with cakes and drinks for an individual who has won medals
Keyworth United Football Club	507.00	To contribute towards Keyworth United Community coaching sessions
Keyworth Table Tennis Club	750.00	To contribute towards the project to introduce table tennis into the three Keyworth Primary Schools
Upper Broughton Parish Council	1,085.00	Contribution towards historical interpretation panels relating to the 4 Village Greens around the village.
Stanton on Wolds Parish Council	100.00	Contribution towards litter bins
Rempstone Village Hall	908.00	Contribution towards items to improve the Halls facilities and a replacement laptop
Keyworth Horticultural Show Committee	200.00	To contribute towards the printing costs and prizes for the Horticultural Show
Cllr Jim Creamer		
Sacred Heart Voluntary Academy	650.00	Funding towards laptops or tablets for vulnerable children to aid home learning (coronavirus)
Gedling Borough Council (Netherfield Steering Group)	1,300.00	To pay for 6 decorative Christmas panels along Manor and Station Road, and for the installation of an action image of Fire Fighters and Air Service men during WWII outside the Fire Station
Brickyard Youth Club	200.00	New play equipment and clothing for youth club plus first aid training
Phoenix Farm Open Door Project (The Ark)	1,000.00	Public use computer equipment and promotion of the Arks Job and Friendship Clubs. Also new storage solutions / equipment
Gedling Play Forum	200.00	To help fund the replacement bulbs for the recourse centre and scrapstore

Carlton Forum Swimming Club	300.00	Contribution towards subsidising Membership to encourage new Members to join
Gedling Borough Council	500.00	Contribution towards the health and wellbeing event to be held on 2nd December at the St. Georges Centre
We R Here	295.00	To assist with counselling in the Carlton West area
Via East Midlands Ltd	55.00	1 Tonne of salt to fill grit bin on Darley Avenue, Carlton
Age Concern Carlton & District	500.00	Promoting an age friendly environment based in Carlton Hill shopping area centring around the Age Concern Centre
Cllr Eddie Cubley		
Age Concern Eastwood	500.00	To fund repairs on the front door (e.g. Draught excluders)
Eastwood Neighbourhood Watch	200.00	To contribute towards the cost of renting a meeting room
Eastwood Volunteer Bureau	1,000.00	To purchase food for the foodbank over the Christmas & Winter period
The Greasley Gathering	500.00	Contribution towards the Greasley Gathering
Eastwood Memory Cafe	800.00	To help fund transport costs for those with poor mobility
Moorgreen Colts Football Club	500.00	To supply nets and goal posts for children's 5 a side football
3rd Eastwood St. Marys Scout Group	1,000.00	To give disadvantaged children the chance to attend the 'Poacher International Jamboree'
Elderberries Over 60's Social Club	500.00	Contribution to take members out for dinner on the Queens Platinum Jubilee in June 2022
Cllr Debbie Darby (Elected 17 February 2022)		
The Bridge Community Centre	1,000.00	To purchase blinds, tables, and chairs to continue offering support for the Newark community
Notts County Scouts Council	750.00	To support a young person to attend the 2023 International Scout Jamboree in Korea
Newark Sea Cadets	1,000.00	To purchase kayaks and other items associated with outdoor adventures
Coddington Community Centre	1,000.00	Contribution towards the upgrade of lighting in the function room
Cllr Sam Deakin		
Beaufort United Football Club	1,300.00	For the cost of a new AED defibrillator unit and instillation at the Unwin Road football club site
Sutton Town Centre Group	1,000.00	To cover the costs of traffic management for the remembrance service parade

New Cross Community Church	1,000.00	To support the breakfast clubs which take place during school holidays and 'Giggles' – a healthy eating project
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Sutton Junction Residents Association	625.00	Contribution towards a BMX/Mountain bike track on the John Whetton Park
K-A P-O	575.00	To support a young person to purchase equipment for a 17 day trek in Nepal
Cllr Maureen Dobson (Deceased)		
Friends of Trent Vale Trail	650.00	To mount four A1 sized notice boards with legs along the trail
Beaumont House Community Hospice	200.00	To provide a free event for children to make dragon masks at the Newark Dragon Boat Festival
Newark Community First Aid	400.00	Contribution towards the building of a First Aid Treatment Centre at Newark Showground
Cllr Dr John Doddy		
Cossall Parish Council	1,000.00	Refurbishment of the porch at the Church Hall
Awsworth Parish Council	1,500.00	To purchase new playground equipment
Stapleford & Broxtowe Golden Jubilee Group	500.00	To support the 'Hemlock Happening' event
Trowell Parish Council	2,000.00	Contribution to support funding of car park drainage at the Parish Council
Cllr Bethan Eddy		
Warsop Parish Council	885.00	Closure of the roads for Remembrance Day parade on November 14th
Warsop Parish Council	177.00	Closure of the roads for Remembrance Day Parade on November 14th
Literacy Volunteers	660.00	To provide 30 boxes filled with activities to encourage children to read , for a school in Warsop
Hetty's	500.00	To install security lights and purchase additional desks and chair for the new premises
Warsop Poppy Group	300.00	Contribution towards a remembrance display for the lost soldiers of Warsop
Warsop Parish council	498.00	To purchase litter picking equipment and storage for the equipment so it can be used across the Parish
Friends of the Carrs	1,000.00	To support activities and grant application work to do up the Carrs Bridge and Weir

Meden Vale and Warsop Methodist Church	980.00	Contribution towards setting up another 7 Family Lunch Sessions
Cllr Boyd Elliott		
Willow Farm Primary Academy	1,000.00	To buy books and soft furnishings for a library/nurture area for the children with problems caused by COVID-19
Woodborough Parish Council	100.00	Part fund the Christmas trees seasonal celebrations
Calverton Community Toy Library	600.00	To purchase a new shed for the storage of toy at the Baptist Church Calverton
The Core Centre	1,000.00	Provide all sorts of projects within the community including friendship groups and benefits advice
Calverton Art Group	500.00	Help restart the group after Covid - funding would replace art materials
1st Woodborough Guides	480.00	To contribute towards an International Camp at the Lincolnshire Showground in August 2022
Spring Lane Farm Shop	220.00	To supply Christmas trees, December 2021 for Calverton Village and Schools
Woodborough Institute	400.00	Contribution towards repairs to the chimney
Paviors RFC	500.00	Contribution towards the 'Minis' Rugby tour
Woodborough In Bloom	200.00	Contribution towards flowers & plants for the village
Cllr Sybil Fielding		
Back of the Net	300.00	To provide a portable mobile toilet to be used for the summer activity of football training which is free to under 11 year olds in my area
Worksop's Got Talent	300.00	To help fund the cost of the Worksop's Got Talent event
Dukeries Academy for Gymnastics	300.00	Contribution towards equipment for gymnastics
Shireoaks Parish Council	200.00	To fund racking and first aid equipment for the flood containers
The Crossing Church	500.00	Contribution towards the cost of equipment for 'Friday Community Café'
1st Shireoaks St Lukes Scout Group	300.00	To fund resources for newly set up Beaver Scout Group and for equipment for the Cub Scouts
Age UK Men in Sheds	300.00	Towards replacement equipment and to purchase new materials
Rhodesia Parish Council	200.00	To fund racking and first aid equipment for the flood containers
Bassetlaw District Council	400.00	To fund trees to extend the Queen's Diamond Jubilee wood, planted by children of Gateford schools
Rockware Sports and Social Club	400.00	Contribution towards repairs of storage roof damaged in the recent storms

Ryton Chorale	300.00	Contribution towards the cost of music for the junior choir
Shireoaks and District History Group	600.00	Contribution towards the re-print booklet for historic walks round Shireoaks
Shireoaks Newsletter	300.00	Contribution towards software needed to produce the newsletter
The Musicality Singers	300.00	To help fund the cost of music for a community-based choir
Balmoral Tenants & Residents Association	300.00	Contribution towards transport costs for residents with mobility issue to attend outings
Cllr Kate Foale		
Hedgepigs	100.00	Contribution towards the publication of 5000 leaflets to promote the making of hedgehog holes across my division and for 100 hedgehog highway signs
Broxtowe Women's Project (BWP)	200.00	Contribution towards the one-off cost of a building alarm and the room hire of a fundraising event
Beeston Community Resource CIO	500.00	Contribution towards the development of services for people suffering from social isolation and poor mental health
Music for Everyone	250.00	To pay for 25 vulnerable adults to attend the Open Voices Session
Nottingham Rehabilitation Gym	200.00	To help support dementia classes
Canalside Heritage Centre	300.00	To purchase equipment for the volunteers in the gardening group
Beeston and District Civic Society	200.00	Beeston Light Night on the 29th January 2022 – funding will contribute towards a massive installation.
Broxtowe Borough Council	400.00	Assist in purchasing 'Cycle Marking Kits' as part of the Cycle theft prevention action plan
When You Wish Upon a Star	500.00	To help children, within my division, to enable them to be taken on a trip to Lapland
Beeston Community Resource CIO	300.00	Supporting mental health in the community, specifically through a music project
Trent Vale Infant and Nursery School	500.00	Contribution towards objects/activities that would encourage children struggling to read to be more engaged
Broxtowe Community Projects	350.00	To provide essential food items distributed by the food bank for the families in Beeston and Central Rylands
Notts Office of the Police and Crime Commissioner	200.00	Funding for some cycle coding kits
Beeston & Toton Sycamore Cricket Club	200.00	To help fund repairs on cricket club roller
Ryland Rascals Playgroup	300.00	Contribution towards a metal shed to store toys in

PAS Support CIC	200.00	Contribution towards costs when working with vulnerable families to support social, emotional wellbeing and mental health
Trent Vale Community Sports Association	300.00	To help towards site clearance / rubbish removal
Cllr Stephen Garner		
Age Concern Mansfield	300.00	To help fund a day trip including the provision of transport
Little Explorers	300.00	To purchase equipment and toys for the Under 3s playgroup
Mansfield Harriers & Athletic Club	400.00	To purchase athletic equipment such as hurdles, javelins and hammers
St Marks Toddlers Group	300.00	To purchase toys for the toddler group
6th Mansfield Boys Brigade	400.00	For the annual camp in the Lake District for under-privileged young adults
Care and Share Support Group	300.00	Contribution towards outings for the Dementia group and a Christmas get together
Friends of Berry Hill Park	400.00	To purchase equipment and fencing that will be used to protect the newly planted communal orchard at Berry Hill Park
Sunbeams	300.00	Contribution towards toys for the toddler group 1-3 year olds
Maun Conservation Group	500.00	For the help with the provision of a notice board
6th Mansfield Brownies	200.00	Contribution towards craft equipment and activities at the Brownies camp
Mansfield and Ashfield Echo	200.00	To supply audio CD's for partially blind residents for news and information
Men in Sheds	300.00	To purchase tools and equipment to assist tutors in training and presenting skills to members
Via East Midlands Ltd	300.00	Grit bin and 29 bags of salt to be used in the Mansfield South division
Mansfield & District U3A	400.00	For indoor sports equipment, bowls mat, exercise equipment for elderly residents to keep fit
Mansfield Petanque Club	400.00	£200 for defibrillator on Tichfield Park & £200 for advertising the Pentanque to increase membership
Cllr Glynn Gilfoyle		
Willow Community Garden	200.00	Towards ongoing work in the garden that serves all the community
OASIS Community Church	200.00	Contribution towards holding the Community Awards Ceremony
Worksops Got Talent	200.00	Contribution toward room hire for the event held on 26th November 2021
St Paul's (Manton) PCC	250.00	Contribution towards the refurbishment of the Parish Hall

Focus on Young People in Bassetlaw	200.00	Contribution towards Gym Membership pilot for families that are suffering from mental health issues post Covid
Rayton Spur Afternoon Club	200.00	Contribution towards the cost of their Christmas dinner and get together
Via East Midlands Ltd	55.00	Salt to replenish the grit bin on Highland Grove Worksop
Via East Midlands Ltd	75.00	20 bags of Salt for Highland Grove Worksop
North Locality Youth Work Team	1,000.00	To provide diversionary activities in Valley Young Peoples Centre, Worksop
The Centre Place	250.00	To provide assistance towards celebrating 25 years of working with the LGBT Community in Bassetlaw
Aurora Wellbeing Centre	250.00	To support the Queens Jubilee Events to be held at the venue
Hetty's	250.00	To pay for travel expenses for Bassetlaw residents to access services
Aurora Wellbeing Centre	250.00	To buy equipment and stationery for a craft group
Oasis Community Centre	870.00	To provide assistance to the Edge project
Bassetlaw Food Bank	500.00	To provide food parcels for those in desperate need in Bassetlaw
Bassetlaw District Council	250.00	To provide tenancy help and assistance e.g. bedding / carpets via the Bassetlaw Hardship Fund
Cllr Keith Girling		
Rosie May Foundation	200.00	Contribution towards hosting a charity evening to launch 'Ruby our little pink tuk tuk'
Newark Patriotic Fund	500.00	Contribution towards running a Forces Breakfast Club to support local veterans and serving Armed Forces personnel
Newark Town Council	200.00	Contribution towards the Newark Armed Forces' day event on the 19th June 2022
RAFA Newark Branch Club	2,000.00	To purchase kitchen equipment and a working amount to set up the Breakfast Club
Newark Cancer Support Group	750.00	To support the group to continue in supporting those with Cancer and their families pre and post treatment and bereavement
Newark and Sherwood District Council	1,050.00	To purchase and fit a picnic bench and buy bedding plants for the raised beds at Chatham Court Hub
Newark Rugby Club	100.00	Funding to enable children to attend the 'Minis' rugby tour in April
E M	200.00	To assist a young person to attend the Dance World Cup in Spain
Cllr Penny Gowland		
Musters Tennis Club	400.00	To purchase 6 portable lights to enable tennis play in winter
Framework Housing Association	500.00	To fund activities for homeless young people living in supported housing in Lady Bay

Musicworks Midlands	500.00	Will fund the training of 10 community musicians to support the work of the Heron Music café for Well Being.
Lady Bay Arts Trail	400.00	Contribution towards the May 2022 art trail specifically for the children and young people's programme free workshops and commissioning artist to run them
Friends of Sharphill Wood	50.00	Contribution towards a tree popper to enable the easy removal of large unwanted species that have become established in the wood
The Friary Drop in Ltd	500.00	Funding for partitions to create a space to allow one-to-one sessions
When You Wish Upon a Star	200.00	To help children within my division, to enable them to be taken on a trip to Lapland
Boots Netball Club	300.00	To increase opportunities for physical activity and team activities amongst women in west Bridgford
South Locality Youth Services	400.00	For training on using the music recording/performing equipment that is available in the West Bridgford Young People's Centre
Re-engage West Bridgford Group	300.00	Provide funds for monthly tea parties and buy flowers on Birthday's and hopefully be able to take the group out for a Sunday lunch
F D	172.00	To facilitate the laying of donated slab into a patio within the community therapy garden at Adbolton Care Home
5th West Bridgford Rainbows	50.00	Activities for instance craft supplies and items from the girl guiding shop e.g. Badges
West Bridgford Liberty Singers	100.00	To help fund the purchase of t-shirts for local choir group
Citizens Advice Nottingham and District	928.00	To provide free confidential and impartial advice to the residents of West Bridgford North
Friends of the Hook	200.00	A contribution towards the cost of clearing the wildlife pond on The Hook Nature Reserve of invasive reeds
Cllr Errol Henry JP		
A F	350.00	To help a member of my division to complete a Triathlon Coaching course to enable them to give free sessions to promote health and mental wellbeing in the Carlton area
Gedling Borough Council (Netherfield Steering Group)	1,100.00	To pay for 6 decorative Christmas panels along Manor and Station Road, and for the installation of an action image of Fire Fighters and Air Service men during WWII outside the Fire Station
Carlton Forum Swimming Club	200.00	Contribution towards subsidising Membership to encourage new Members to join as they are struggling to pay for pool hire
Brickyard Youth Club	200.00	New play equipment and clothing for youth club plus first aid training
We R Here	200.00	This funding will support some of the most vulnerable women and children in the area to access vital services

Gedling Borough Council	500.00	Contribution towards the health and wellbeing event to be held on 2nd December
Phoenix Farm Open Door Project	200.00	Funding for public use computers and new storage solutions and equipment to allow for better use of space
Gedling Play Forum	700.00	Purchase sensor bulbs to help reduce energy costs in the Resource Centre and Scrapstore
Hetty's	550.00	To install security lights and purchase additional desks and chair for the new premises
Age Concern Carlton & District	500.00	Promoting an age friendly environment based in Carlton Hill shopping area centring around the Age Concern Centre
Phoenix Farm Open Door Project	500.00	To purchase computer equipment for public use, for those who do not have computer/internet access at home
Cllr Paul Henshaw		
Mansfield Wildlife Rescue	250.00	To purchase materials for wildlife holding cages and one-off items for safe holding of wildlife e.g. bedding water pots etc
The Christmas Light Fund	250.00	To purchase Christmas lights for Pleasley Square
Mansfield Salvation Army	250.00	Towards food costs for the Salvation Army's Christmas Dinner to benefit around 20 lonely and elderly residents in the Mansfield West division
Age Concern Mansfield	250.00	Contribution towards the Age Concern Christmas Dinner for elderly people in the Division
Ladybrook Christmas Lights Fund	400.00	To help with the purchase of Christmas lights to be fitted in and around Ladybrook shops area
Peace of Mind	450.00	To purchase equipment and timber to construct raised growing beds
Hetty's	250.00	Funding for moving costs e.g. hire of vans, phone changes and new alarm system
Wainwright Primary Academy	350.00	Contribution towards First Aid training for students
Salvation Army	300.00	Contribution towards provisions and lunches for members of the Wednesday Group, Victoria Street Mansfield
Old Mansfield Society	900.00	To fund new IT and software and contribute to an exhibition about the Salvation Army in West Mansfield
New England Allotment Group	600.00	To purchase a portable toilet for the community allotment
Mansfield Cat Rescue	300.00	To purchase equipment, food, cages, cat litter, toys, blankets etc for rescue cats
Jigsaw Support Scheme	300.00	Contribution towards a sign wrap for the foodbank van

Brunts Charity (Champion Crescent)	150.00	To provide a Fish & Chip lunch during Easter
Cllr Tom Hollis		
Safer Huthwaite	100.00	To cover costs for the road closures, radio hire and signage for the 2021 Remembrance Day parade in Huthwaite
K L W	500.00	Contribution towards costs for holding a Community Halloween event on 27 October at Festival Hall
Mansfield Hosiery Mills Cricket Club	887.00	To provide additional training and playing equipment, and will fund emergency first aid training for the volunteer coaches
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Ashfield District Council	1,000.00	To purchase a Christmas tree for Huthwaite marketplace and associated costs of a Christmas 2022 event
Huthwaite Amateur Boxing Club	1,000.00	To purchase new gloves and other associated equipment to support Huthwaite Boxing Gym
Huthwaite Fun Raisers	1,013.00	Contribution towards a bus trip for the children of Huthwaite
Cllr Mike Introna		
Ordsall Bridon Cricket Club	1,000.00	For the supply of 40 cricket shirts for the youth teams which will include the NCC logo
Retford Armed Forces & Veterans Breakfast Club	175.00	Contribution towards a roll-up banner/s to be used at the Breakfast Club and charity events
Retford Community Singers	375.00	To allow the choir to continue operating until people feel able to attend the sessions, until they can become self-supporting again
Retford Swimming Club	1,000.00	To fund new starting blocks / equipment for the Juniors Swimming Club
Retford Athletic Club	1,000.00	To fund new Track equipment for Retford Athletics Juniors Club. This will primarily be for new Javelins and other field items
Hetty's	450.00	Contribution towards presentation equipment at their Stableblock office
St Saviours Community Centre	375.00	To fund a de-humidifier for the kitchen, whiteboards for the Education Centre and new playmats for the Playgroup
Orsdall Community Watch	150.00	To fund ID tags, equipment, and admin for the Watch to visit residents when helping with security concerns
East Retford Rugby Union & Football Club	475.00	New training equipment including cones, bibs, poles and first aid kits

Cllr Richard Jackson		
Greenwood Community Centre	925.00	Contribution towards servicing the alarm system, security lighting and fire prevention equipment
Alderman Pounder Infant School	2,000.00	Contribution towards repairs to the 'Trim Trail' which hadn't been used in the pandemic, to encourage the children to be more physically active
Chilwell Community Centre	925.00	Refurbishment of small sitting room and upgrade the alarm system
Eskdale Junior School	650.00	Contribution towards a new cycle shelter
Chilwell Manor Golf Club	500.00	Contribution towards the cost of a defibrillator
Cllr Roger Jackson		
Minster School PTA	250.00	Contribution towards outdoor play equipment
Thurgarton Cricket Club	250.00	Contribution towards a defibrillator
Hoveringham Vintage Vehicle Society	470.00	Contribution towards planning costs to recite the 'Hoveringham Mammoth'
Lowdham Flood Action Group	200.00	Contribution toward water proof clothing for volunteers and to purchase a rain gauge
Southwell Bramley Apple Festival	250.00	Contribution towards the cost of putting on the Southwell Bramley Apple Festival
Epperstone Parish Council	450.00	To replace old and broken dog bin
Upton Parish Council	400.00	Contribution towards refurbishing the Village Hall
Bulcote Parish Council	300.00	To help with the funding of a village event for the Queen's Platinum Jubilee
Gunthorpe Parish Council	300.00	Help towards a village Easter party for its local children
Thurgarton Parish Council	300.00	Contribution towards the cost of new dog bins
Lowdham PCC (Parochial Church Council)	400.00	Contribution towards new fencing on the church boundary
Hoveringham Parish Council	300.00	Contribution towards a new notice board
Gunthorpe Women Institute	200.00	To help pay for speakers and recruit new members
Oxton Parish Council	250.00	Contribution towards new play equipment for the new play park
Literacy Volunteers	300.00	Contribution towards volunteers who help children who are struggling to read in School
Southwell Rugby Club Juniors	380.00	Supporting Southwell Colts team with new playing kit

Cllr Eric Kerry		
Chilwell Manor Golf Club	500.00	Contribution towards a defibrillator for the local community
Broxtowe Women's Project	3,000.00	To pay for new IT equipment and training of new and old volunteers
Attenborough Colts FC	750.00	Contribution towards new training equipment for the 18 football teams of various ages
Eskdale Junior School	750.00	Contribution towards new matted walkway between the new bike racks and the school building
Cllr Bruce Laughton		
Halam Parish Council	300.00	To support the village fete
Halam Parish Council	500.00	Contribution towards Gateway signs
Bilthorpe Parish Council	1,000.00	Contribution towards the Village Hall refurbishment i.e. fridge, water urns
Carlton-on-Trent Parish Council	400.00	Contribution towards a memorial bench for the Queens Platinum Jubilee
Cauntton Parish Council	400.00	Contribution towards a new village sign
Farnsfield Parish Council	434.04	To support Hill View Patient Participation Group to purchase a Heine HL5000 Minor Surgery Light
Bilthorpe Parish Council	500.00	Contribution toward the Bilthorpe Platinum Jubilee beacon
Cauntton Parish Council	500.00	Repairs to the village church clock
Norwell Parish Council	500.00	Safety fencing around the dyke in the allotment and to install a water pump
Farnsfield Parish Council	465.96	Contribution towards the Queen's Platinum Jubilee celebrations
Cllr Johno Lee		
Unlock Your You	500.00	Towards training volunteers and launching the 01636 live helpline for the new Newark & Sherwood Mental Health Response Unit
Newark Dementia Carers' Group	500.00	To help fund future activities and games, so that the Group can continue to support families and carers across Newark East and Balderton Divisions
Fernwood Parish Council	2,000.00	To cover the costs of room hire and a computer for the youth group
Balderton Parish Council	500.00	Provide nature trail/educational routes at Balderton Lake area
Balderton Parish Council	1,500.00	Contribution towards additional pieces to the outdoor adult gym, equipment for village playing field
Cllr David Martin		
Bagthorpe Athletic Football Club	650.00	Sports equipment for the football club. Covid-19 has removed their income streams for last year
Selston Bowls Club	103.50	In support of Annual Bowls Club Summer Gala

Tin Hat Centre	100.00	To supply materials to support the Tin Hat Knitters group
Tin Hat Writers	150.00	To provide materials and to pay for speakers
Underwood Villa FC	500.00	Towards costs for nets to protect residents' properties at outdoor training sessions, supporting children & adults from various local football clubs
Tin Hat Centre	297.00	To provide shelving and storage units for the relocation of the foodbank
Selston Parish Council	324.00	Contribution towards room hire so the Youth Group has somewhere to meet safely
Selston Football Club	750.00	To provide sports equipment for the football club as the pandemic has evaporated their income stream
Via East Midlands Ltd	1,140.00	1 Tonne of Salt, 7 grit bins at Providence Road, Laverick Road, Franklin Road, Dixie Street, Edward Avenue, York Avenue Jacksdale & Hartington Drive Selston
Underwood Festival	108.00	To provide hand sanitiser and stands for Underwood Festival and other public events in Selston Parish
Brinsley with Underwood PCC	470.00	To provide new interior spotlights for performances by schools, theatrical groups, youth club, and choirs at St Michaels.
YP West Locality Team	207.50	Provision of materials for youth clubs war memorial at BASE 16 Selston Youth Club
Selston C of E PTA	200.00	To provide Christmas Tree & lights, presents, & crackers for two reception classes.
Cllr John Maggie McGrath		
Awsworth Villa Football Club	500.00	Contribution towards much needed football equipment
5th Stapleford Scout Group	400.00	Contribution towards single occupancy tents
Fairfield Primary Academy	500.00	Contribution towards the 'Learn, Growing & Cooking Skills' project (extra curriculum activities)
Stapleford Getaway Club	600.00	Contribution towards purchasing art and craft equipment and sundry items plus outings for the group
Stapleford Town Football Club	700.00	To form an Under 21's football team
Awsworth Parish Council	1,000.00	To help fund the new children's playground
Broxtowe Women's Project (BWP)	400.00	Contribution towards the one-off cost of a building alarm and the room hire of a fundraising event
Stapleford & Surrounding Areas Mutual Aid Group	500.00	For Christmas hampers for elderly people in the area
Trowell C of E Primary School	400.00	Contribution towards games and activities for children attending the wraparound care facilities

Cllr Andy Meakin		
Bentinck Miners Welfare Social Club	1,000.00	For the cost of a new AED defibrillator unit and instillation at the Bentinck Miners Welfare site on Sutton Road
Royal British Legion Kirkby Branch	500.00	Contribution to the Remembrance Day parade
Via East Midlands Ltd	310.00	Grit bins on: Richmond Road (Walesby Drive end) and Oxford Street (Kingsway end)
Our Centre, Kirkby in Ashfield	1,000.00	Contribution towards the 'Caring Codgers' community transport project
Ashfield Evergreens	1,000.00	To contribute towards additional car parking spaces for users of the popular centre catering for elderly residents in Kirkby-in-Ashfield
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Morvern Park Primary School PTA	690.00	To purchase equipment for the after-school clubs that are free of charge to the pupils, topics vary, homework club, phonics, boosters, singing, cookery, jewellery, drawing, crafts, dodgeball, rowing, running, athletics etc.
Cllr Nigel Moxen		
Frenbot Football Charity	250.00	To purchase football kit, bibs, footballs and training equipment for volunteers for the July 2021 Charity match
Forest Town Nature Conservation Group	100.00	To purchase wildflower seeds for a new pollinator habitat at Spa Ponds Nature Reserve
Bellamy Estate Christmas Funday	200.00	For the purchase of a small marquee for "Santa" to shelter under and for the purchase of gifts for the local children who attend the event on Saturday 18th
Men in Sheds	500.00	For the purchase of tools and equipment to be used by the service users of the Centre
Family Action	1,000.00	To purchase food frequently missing from food boxes and recipe bags
Making It! Enterprises Ltd	500.00	Purchase a projector, IT equipment and office furniture to allow the charity to work more effectively within the Mansfield community
Via East Midlands Ltd	155.00	Grit bin Clipstone Road West (St Albans Church)
Mansfield Wildlife Rescue	500.00	Contribution towards equipment to set up a Community Cafe
St Albans Church Forest Town	500.00	To purchase equipment and initial consumables in order to set-up a "place of welcome" for the Forest Town community
Hetty's	500.00	To Install security lights and purchase additional desks and chairs for new premises

The Patchills Centre	500.00	Purchase of outdoor furniture for use by the residents to allow them to utilise the sensory garden
Friends of Bellamy	295.00	Costs of running the Jubilee Sports Day, including hire of Bouncy Castles, PA Equipment and refreshments for the children
Cllr John Ogle		
2nd Tuxford Scout and Guide Group	300.00	Towards the cost of updating the old heaters at the Scout and Guide group headquarters to a more cost effective and energy efficient system
East Markham Parish Council	1,000.00	Part funding for a new sports pavilion building project
Laneham Parish Council	500.00	To provide safety fencing to the newly established Playground area in centre of Laneham
Tuxford Town Council	250.00	To purchase educational Christmas presents to the children of Tuxford Primary Academy and Pump Farm Nursery
Parish of Eaton and Gamston PCC	600.00	Contribution towards improvements to the Church so it is fit for purpose when holding community events in the village
South Leverton Parish Council	500.00	Refurbishment of a civil parish council burial ground, toward a bench, hedgerow and planting
Dunham & District Parish Council	300.00	For Community lead wildlife and environmental projects, towards materials for bird and bat boxes, hawthorn whips, also towards litter picking equipment
South Leverton Senior Citizens Christmas Dinner Fund	200.00	To provide Christmas lunch for all senior citizens wishing to take part in the Parish
North Nottinghamshire First Responders	500.00	To help support a first responder in the Parish of Markham / Clinton
East Markham Parish Council	550.00	Contribution towards the building of the sports pavilion
Rampton and Woodbeck Parish Council	300.00	To purchase of a disabled ramp for the Village Hall and repairs to PIR light
Cllr Philip Owen		
Via East Midlands Ltd	210.00	H-Bar to cover access to 21 and 23 Nottingham Road, Kimberley NG16 2NB
Kimberley Bowls Club	500.00	Contribution towards a new bench project for the club
Nuthall Parish Council	250.00	To provide funding to allow those attending the Monday Munch Club to hire an alternative venue while the Parish Council is closed for works
Nowmads	500.00	To support the first post-lockdown concert by the group as they have been unable to fundraise due to Covid-19
Via East Midlands Ltd	155.00	Grit Bin for the Horsendale Shops on Horsendale Avenue Nuthall

Kimberley Town Council	500.00	Contribution towards a defibrillator
Rumbletums	400.00	To purchase toys and simple art and craft projects for the toddlers, plus a free-standing screen so that we can close off a small area of the room more safely
St. Patricks Wednesday Club	250.00	Contribution towards the provision of speakers for meetings
1st Nuthall Girls Brigade	500.00	To purchase of laptop for use by the company section
Nuthall Parish Council	300.00	To provide Fish & Chip lunches for elderly residents that are disadvantaged
32nd Nottingham Boys Brigade	700.00	Purchase of Duke of Edinburgh equipment and indoor games
Nuthall Age Concern	235.00	To contribute towards tables and chairs to refurbish the Day Centre
1st Nuthall Guides	500.00	Funding for new unit neckers and to contribute to new tables within the hut for Guides and Brownies
Cllr Michael Payne		
St Mary's Church	100.00	For the purchase of a rice cooker to support St. Mary's Community Friday Kitchen
Warren Action Group	1,000.00	Contribution towards Christmas events for the community
Emmanual Church	200.00	To support provision of meals through St Albans church
Via East Midlands Ltd	3,500.00	Contribution to Redhill Community Gateway Signs project
1st Daybrook & Woodthorpe Scout Group	200.00	Contribution towards new neckers, which celebrate the heritage and history of the scout troop
Cllr Sheila Place		
Bircotes Pre-School	250.00	Purchase a shed to support outdoor mathematic resources
Harworth Church of England Academy	300.00	Contribution towards a small gift for each child/Christmas decorations
Primary School of St Mary and St Martin	250.00	Contribution towards a small gift for each child/Christmas decorations
Serlby Park Academy	1,000.00	Contribution towards a small gift for each child/Christmas decorations
Langold Dyscarr Community Academy	400.00	Contribution towards a small gift for each child/Christmas decorations
St Patricks Catholic Primary School	250.00	To purchase virtual pantomime, drinks and sweets, and resources for bereavement/mental health group
Langold St Luke's Peace Garden	1,000.00	To purchase benches, sleepers for raised beds & planting for the Sensory Garden
St Mary and St Martin Church Blyth	100.00	For payment of singer at OAPs lunch

County Enterprise Foods	180.00	Provision of 30 meals for OAP's lunch at Blyth Church
Harworth & Bircotes Tenants & Residents Association	526.00	Afternoon tea and entertainment for the elderly
Harworth Brass	372.00	Towards paying for the band to play for an event for the elderly in 'Now Church'
Langold Village Hall Management Committee	372.00	Contribution towards Queen's Platinum Jubilee celebrations
Cllr Mike Pringle		
Ollerton Bowls Club	300.00	To assist in the purchase of a weed and feed spreading machine
Dwtutoring	250.00	To fund teaching sessions and equipment for vulnerable students who are falling behind in MATH education
North Locality Youth Work Team	500.00	Ollerton & Boughton Children's Centre - gardening course so that families can learn new skills around growing, planting and eating healthy food
Dukeries Community Workshop	500.00	To provide materials to construct a story telling chair and associated benches for the sensory garden at St Paulinus Church
ROPE Project	500.00	To support the huge gap for families and individuals that are starting up a fresh that are unable to afford basic essential household items
Sherwood Forest Education Partnership	1,000.00	Contribution towards transport costs for the Thursday Night Youth Project that will be starting in Spring 2022
Parkgate Academy	200.00	Contribution towards a defibrillator
Lifespring Church and Centre	850.00	To purchase tactile and illuminated systems for those suffering from autism including those who are wheelchair bound
Ollerton Boughton Boxing Academy	900.00	Contribution towards equipment to support free taster boxing sessions at local Primary Schools
Cllr Francis Purdue-Horan		
1st Shelford & East Bridgford Scouts Group	250.00	To replace fencing either side of the footpath which runs between the field leased by the Scout Groups
Bingham Community Events	500.00	Assistance towards the cost of marquee hire for 2 days (17th & 18th Sept) for the Bingham Community Events Beer Festival
Orston Parish Council	500.00	Installation of a war memorial wooden bench seat, on Loughbon, Orston
Thoroton Parish Meeting	500.00	To provide a defibrillator to be available for use in Thoroton village
Bingham Cricket Club	500.00	Contribution towards new ground equipment and the replacement of mechanical and electrical parts on grounds equipment
Bingham Penguins Swimming Club	948.00	Contribution towards Swim Teaching qualifications for two volunteers

Aslockton Parish Council	500.00	Towards the installation costs of 5 new village gateway signs
Langar Cum Barnstone Parish Council	100.00	To purchase wildflowers from Langar Wildflower Farm and plant on Parish Council land
Ortson Parish Council	210.00	Contribution towards Queen's Platinum Jubilee celebrations
East Bridgford Parish Council	80.00	Purchase of materials to re-stain benches
East Bridgford Open Gardens	500.00	To enhance an area in front of the Health Centre with raised beds, planters, shrubs, soil, gravel, etc.
Cllr Mike Quigley MBE		
North Nottinghamshire Community Responders	1,000.00	Towards the cost of equipment for the Community First Responders volunteers in the Retford area
Ranby Village Hall	1,000.00	Contribution to install an Overhead Projector and Wireless Streaming unit in Ranby Village Hall.
Retford Community Singers	375.00	To allow the choir to continue operating until people feel able to attend the sessions, until they can become self-supporting again
Barnby Moor Parish Council	1,000.00	Repairs to village hall to improve access and safety
Northern Musical Theatre Orchestra Limited	1,135.00	Purchase of 8 microphones to enable monthly play-throughs at the Majestic Theatre Retford
Retford Musical Theatre Company	490.00	Repairs to the rehearsal room roof
Cllr Mrs Sue Saddington		
Newark Crusader CIO	200.00	To assist with items to make 'The Crusader' Covid safe for disabled passengers taking boat trips on the river
Friends of the Wharf	200.00	To support the 'Covid Connection' Event. The wharf in full bloom
Averham, Kelham and Staythorpe Parish Council	100.00	Contribution towards a 'Post Covid Celebration' for the three villages
Aveham Kelham & Staythorpe Parish Council	100.00	To contribute towards a post-Covid-19 event at Robin Hood Theatre in the community
N T G	100.00	Contribution towards running a Drive-in Cinema event at Newark Showground for children in care & care leavers
Rolleston Village Hall	150.00	Contribution towards a Christmas party in Rolleston
Bleasby Parish Council	150.00	Contribution towards village Christmas tree
Rolleston Parish Council	100.00	Contribution towards seniors Christmas lunches
Elston Parochial Church Council	200.00	Repair and maintenance of church clock
Syerston Parish Meeting	250.00	Contribution towards Queen's Platinum Jubilee celebrations
Hawton Parish Council	250.00	Contribution towards Queen's Platinum Jubilee celebrations

East Stoke with Thorpe Parish Council	250.00	Contribution towards Queen's Platinum Jubilee celebrations
Bleasby Parish Council	300.00	Contribution towards Queen's Platinum Jubilee celebrations
All Saints Primary School Elston	200.00	Contribution towards Queen's Platinum Jubilee celebrations
The Friends of the Wharf	300.00	Contribution towards Queen's Platinum Jubilee celebrations
Rolleston Parish Council	300.00	Contribution towards Queen's Platinum Jubilee celebrations
Farndon Parish Council	350.00	Contribution towards Queen's Platinum Jubilee celebrations
Bleasby C of E Primary School	200.00	Contribution towards Queen's Platinum Jubilee celebrations
Fiskerton Cum Morton Parish Council	300.00	Contribution towards Queen's Platinum Jubilee celebrations
Averham Kelham Staythorpe Parish Council	300.00	Contribution towards Queen's Platinum Jubilee celebrations
Elston Parochial Church Council	350.00	Contribution towards Queen's Platinum Jubilee celebrations
Christ Church of England Primary School	150.00	Contribution towards the school's celebrations for the Queen's Platinum Jubilee
St Peters Cross Keys Academy -School Fund	200.00	Contribution towards Queen's Platinum Jubilee celebrations
Cllr Dave Shaw		
Ashfield District Council	500.00	This will benefit the residents of Hucknall west directly – it is a contribution to wildflower planting in Hucknall West.
YS West Locality Team	1,000.00	To purchase food and toiletries to help Young People in need of support
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Believe Academy	2,000.00	New floor for community dance school
Hucknall Pre-school Playground	1,000.00	To purchase new playground equipment
Cllr Helen-Ann Smith		
Sutton Street Poppy Appeal	200.00	Purchase Poppies to be hung on lampposts
Sutton Town Centre Group	500.00	To pay towards road closures and rising insurance costs at the 2021 Sutton Remembrance Day parade
Teversal Stanton Hill and Skegby Neighbourhood Forum	180.00	To purchase poppies for lampposts

Teversal Stanton Hill and Skegby Neighbourhood Forum	172.60	Public liability insurance to cover all meetings and events for the ensuing year
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Ashfield District Council	1,300.00	Purchase of a defibrillator and box case to be installed at Stanton Hill Boxing Gym
Teversal Manor Room Trust	1,300.00	Purchase of new hand driers
Butterfly Domestic Violence	847.40	Purchase of clothing, toiletries, and other consumables for victims of domestic violence
Cllr Sam Smith		
Beaumont House Community Hospice	100.00	To provide a free event for children to make dragon masks at the Newark Dragon Boat Festival
Newark Dementia Carers' Group	500.00	To help fund future activities and games, so that the Group can continue to support families and carers across Newark East and Balderton Divisions
Balderton Parish Council	1,500.00	To provide outdoor adult gymnasium equipment for the public playing field
Chuter Ede Primary School	570.00	To fund the DARE (Drug Abuse Resistance Education) programme for 60 Year 5 pupils
Newark Town Council	200.00	Contribution towards the Newark Armed Forces' Day event on the 19th June 2022
Newark Patriotic Fund	300.00	Breakfast at carriages in Newark for the veterans
Newark and District U3A	600.00	To cover the yearly cost of room hire for the Newark and District U3A to facilitate social activities
The Barnby Road Academy	225.00	To purchase signs to encourage walking to school which will help alleviate parking problems around the school
Newark Brazil Football Club	500.00	To provide training kits and equipment for the under 6's club
Newark Emmaus Trust	505.00	Annual health and safety checks and to replace office equipment to ensure compliance with DSE
Cllr Tom Smith		
Blidworth Oaks Primary School	500.00	To contribute to the sports club that is run during the school holidays to enable children to access activities
Blidworth on the Move	400.00	To contribute towards Christmas hampers for the church seniors of Blidworth for the isolated and vulnerable
United Benefice of Blidworth and Rainworth.	600.00	Contribution towards restoration work on the Mission Hall

Rainworth & Blidworth Army Cadets	1,000.00	To contribute towards Duke of Edinburgh supplies and enrolment fees for some families that cannot afford it
Blidworth on the Move	500.00	Contribution towards a new vehicle to be used as community transport e.g. visits to doctors and food parcel deliveries
Social Action Hub	500.00	To support the food bank for community use
Blidworth Colliery Welfare Cricket Club	1,500.00	Contribution towards a grass roller
Cllr Tracey Taylor		
Gringley on the Hill Parish Council	400.00	Towards the costs of replacement playground equipment at the village playing field
Hayton Village Hall Trust	100.00	Towards hall rental costs whilst re-establishing community lunch group (no fundraising or events possible during COVID lockdowns)
Scrooby Show	300.00	Towards set up costs (marquee hire etc.) for the annual village show in early September
Walkeringham Village Hall & Playing Field	250.00	To support costs of a community pre-Christmas lunch for Walkeringham village residents
Misson Community Association	100.00	Towards costs of community Christmas lunch for senior citizen residents of Misson
Sutton Cum Lound Parish Council	300.00	Towards costs of replacement defibrillator for community use in Sutton Cum Lound
Lound Parish Council	200.00	Towards cost of trees to be planted to mark Platinum Jubilee events 2022
Misterton Senior Citizens Christmas Party Fund	250.00	Towards costs of community seasonal lunch for senior citizen residents of Misterton
Gringley on the Hill PCC	500.00	Towards set up costs for bi-annual Classic Car Show and Gardens Open village and event
Misterton Parish Council	800.00	Towards set up costs of community events to mark the Platinum Jubilee
Wiseton Cricket Club	300.00	Towards the costs of an emergency generator for the clubhouse, ahead of major refurbishment project
2nd Ranskill Scout Group	400.00	Towards costs for a visit to Duxford Air Museum
Clarborough Welham and Hayton Seniors Fund	300.00	To support costs of hosting celebratory Platinum Jubilee afternoon tea for senior residents of the two parishes
Torworth Parish Council	400.00	To support set up costs for community Platinum Jubilee celebration events
Ranskill & Torworth Scarecrow Festival	400.00	To support costs of hosting Platinum Jubilee community events

Cllr Nigel Turner		
Workshop's Got Talent	400.00	To support the general costs of the local fundraising event, including PA, video and lighting system
Bassetlaw Triathlon Club	2,720.00	Contribution towards developing and training coaches who are all volunteers
Workshop Cricket Sports Club	500.00	To assist in purchasing a large storage space in which to keep equipment and machinery safe
14th Workshop St Anne's Scout Group	500.00	Contribution towards 2 replacement exterior doors for the Scout Hut
Workshop Ladies Hockey Club	380.00	To support a new recruitment programme focussing on the 13 - 15 year-old age groups plus a 'back to hockey' scheme
Clumber Park Cricket Club	500.00	To purchase a much-needed Hayter rotary mower
Cllr Roger Upton		
Radcliffe on Trent Parish Council	1,675.20	To provide new "planters" to the public realm in front of the Post Office Parade in Radcliffe on Trent Village Centre
Radcliffe on Trent Parish Council	540.00	To provide new "planters" to the public realm in front of the Post Office Parade in Radcliffe on Trent Village Centre
Radcliffe on Trent Parish Council	2,576.00	To provide 4 new timber planters at the corners of the new public gazebo
Boots Netball Club	208.80	To increase opportunities for physical activity and team activities amongst women in west Bridgford
Cllr Lee Waters		
Boys Brigade Nottingham Battalion Northern Division	200.00	Contribution towards one-off insurance costs as the Covid-19 pandemic temporarily hampered the organisations' fundraising ability
Via East Midlands Ltd	310.00	Grit bins for Brickyard Crossing Hucknall and Park View, leading onto Beardall Street Hucknall
Salvation Army (Head Office)	500.00	To help towards the purchase of a defibrillator on the Salvation Army Hucknall premises
Nottinghamshire Beekeepers Association	500.00	To purchase equipment and plants to improve the Hucknall apiary and its surroundings, both for the bees and the beekeepers
Falcon Swimming Club	500.00	Contribution towards paying for pool time for young people as the pandemic has hampered fundraising activities
Ashfield District Council	1,000.00	To contribute towards Hucknall Titchfield Park, Centenary Celebrations and for additional planting in the park
Hucknall Engage Limited	140.00	To provide food packages to the most vulnerable

Hucknall National Out of School Club	500.00	To help towards the cost of an outdoor reading shelter for the children
Believe Academy	500.00	Contribution towards life coaching and self-belief / confidence building of young people through dance and musical theatre within the community
Torkard Academy	350.00	Donation to towards instruments and music lessons for young people in Hucknall and to support the music academy to build it's numbers again after he covid lockdown
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Cllr Michelle Welsh		
Gedling Play Forum	500.00	To fund a number of play days/events across the ward of Arnold South and to maintain and develop to promote play activities
We R Here	500.00	To support vulnerable women and children to access vital services
SVP Good Shepherd	500.00	Contribution towards the Community Christmas Party for the people they have supported with hot meals during the pandemic
Phoenix Farm Open Door Project	1,000.00	Funding for public use computers and new storage solutions and equipment to allow for better use of space
Arnold Food Bank	1,000.00	To help fund the foodbank
Arnold Food Bank	500.00	Contribution towards 'Kettles On' a lunchtime club for lonely and vulnerable members of the community
Bags of Blessings	1,000.00	Contribution towards the charity's distribution of essential gifts to deprived young people in Arnold South
Cllr Gordon Wheeler		
St Giles Seniors	250.00	To contribute to post lockdown afternoon tea and a boat trip for seniors
Friary Drop In Ltd	400.00	To contribute towards IT equipment to teach/enhance new skills for those that visit the Centre
Ellerslie Cricket Club	418.32	Towards the cost of cricket equipment to support the club's work with women's cricket, junior cricket and walking cricket
Friends of Sharphill Wood	250.00	Towards the cost of maintaining the tool and equipment supply over the 2021/2022 winter and spring periods
St Luke's Church Gamston & Bridgford	363.00	To help fund a venue for a support group for Syrian refugee women living in the West Bridgford/Edwalton area
Via East Midlands Ltd	55.00	Refill Grit Bin on Dorchester Gardens at its junction with Bracey Rise
Music for Everyone	210.00	To part fund the hire of St Luke's halls
West Bridgford Lawn Tennis Club Limited	350.00	To contribute towards coach training course for volunteer

St Giles Seniors	200.00	To host Christmas dinners for 70-80 of seniors that attend the Church
Greythorn Primary Academy	350.00	To contribute to financial support with regards to funding our DARE program that is to be delivered to our Year 5/6 pupils
St Pauls Church	350.00	To contribute towards our youth group and football group equipment and some tabletop games
Jesse Gray Primary School	350.00	Council trip to parliament, which will include a tour and a workshop on 'representation and voting.'
Rugby Road Community Centre	350.00	To fund various events for the elderly
Heymann Primary and Nursery School	500.00	To buy equipment to make safe spaces and boxes of resources to help children suffering with mental health issues
Friends of Wilford Field	600.00	Contribution towards installing benches on the Wilford Field site
Cllr Jonathan Wheeler		
Leahurst Road Pre-School	250.00	Contribution towards new play equipment
G S Electrical	135.00	To install a new defibrillator at Arnold Hearing, Melton Road
Notts Gymnastics Academy	1,000.00	Towards the purchase of a defibrillator for use by the students and the school and local community
C T	500.00	Towards a memorial bench in the grounds of Edwalton Church to honour former local resident Harry Wheatcroft for his humanitarian work following WW2
St Luke's Church Gamston & Bridgford	363.00	To help fund a venue for a support group for Syrian refugee women living in the West Bridgford/Edwalton area
Music for Everyone	210.00	To part fund the hire of St Luke's halls
Sewa Day	500.00	To purchase items to support the shoebox appeal which provides toiletries and gifts for vulnerable people within the community at Christmas
B C	250.00	To provide funding to a local para-athlete to compete and represent GB
Pierrepoint Gamston Primary School	500.00	To provide funding towards a Platinum Jubilee commemorative coin to be given to all pupils
Edwalton School Parents Association	500.00	Contribution towards new bike sheds at the school
Edwalton Primary Academy (Flying High Trust)	792.00	To install new planted areas around the school

Cllr Daniel Williamson		
Royal British Legion Kirkby Branch	500.00	Contribution to the Remembrance Day parade
Our Centre, Kirkby in Ashfield	1,000.00	Contribution towards the 'Caring Codgers' community transport project
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
St John's Outreach Program	1,000.00	To help get the cinema club up and running again
Via East Midlands Ltd	155.00	Blue Grit bin for placement at the bottom of Moseley Road – junction with Recreation Road, Annesley
Annesley All Saints Church Playgroup	150.00	To purchase some children's tables and chairs for the playgroup
Kirkby Memory Café	895.00	To set up a monthly Memory Café, this will be a free event to encourage people suffering from dementia and associated illness
St Wilfrid's PCC	800.00	Contributions for AV equipment to live stream services to the local community
Cllr Elizabeth Williamson		
Age Concern Eastwood	500.00	To support transport costs which have increased due to a lack of volunteers following the Covid-19 pandemic
ATFA Brinsley Football Club	500.00	For materials to create a cricket square and pitch marker to enable a variety of sports offered by the club
Friends of Brinley Headstocks	500.00	To cover the printing costs of leaflets to promote the Nature Reserve and provide information to the public
Broxtowe Borough Council	400.00	To provide support to scheme within the borough of Broxtowe to provide bike safety equipment
Brinsley Parish Council	1,000.00	To put towards cost of a Celebration for the Queen's Platinum Jubilee for the Village
Wanderers Bowls Club	700.00	To purchase new wooden boards to line the green and wood to refurbish benches, as the current ones are rotten
Greasley Gathering	500.00	To fund the Queen's Platinum Jubilee celebration
1st Greasley Scouts	400.00	Contribution towards new Burco Boilers
Brinsley Food Bank	500.00	To expand their community food project
Cllr John Wilmott		
Boys Brigade Nottingham Battalion Northern Division	300.00	Contribution towards the children's camp as they were not able to fundraise during the pandemic
Hucknall and Linby Brass Band	300.00	Instrument repairs and general development of our players especially the training band

Falcon Swimming Club	500.00	The money will pay towards the ongoing costs in maintaining the Falcon's Swimming Club and it will help pay for equipment urgently needed to run the club.
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Hucknall Men in Sheds	500.00	To purchase equipment to be used by Members
Lovelace Theatre Group	500.00	To support performing arts in the community
Ashfield District Council	500.00	Contribution towards Hucknall Titchfield Centenary celebrations
Over 60's Youthful Group	200.00	To support a programme of social events and activities for members
Hucknall and District U3A	200.00	To purchase equipment for litter picking
Hucknall Flower Arranging Group	200.00	Contribution towards events for members
Hucknall Hope Lea Project	200.00	Funding for garden equipment and products
Under One Roof	500.00	Contribution towards the refurbishment of kitchen in Community Centre
Hucknall Engage Ltd	600.00	Supply food for the food bank service users
Cllr Jason Zadrozny		
L H	1,260.00	To support a young person who has been successfully selected to be part of the Volleyball England under 17 cadet squad. This support would assist paying for training and sporting tutors, as well as travel and equipment
Sutton Swimming Club	1,990.00	To purchase training courses and equipment for the club
Ashfield District Council	500.00	To purchase benches to commemorate key workers during the COVID-19 pandemic
Kirkby Heritage	825.00	Funds towards updating the Centre to make it more appealing towards the younger generations
K-A P-O	425.00	To support a young person to purchase equipment for a 17 day trek in Nepal

9 June 2022**Agenda Item: 13****REPORT OF THE SERVICE DIRECTOR – CUSTOMERS, GOVERNANCE AND
EMPLOYEES****BASSETLAW COMMUNITY GOVERNANCE REVIEW – STAGE 2****Purpose of the Report**

1. The report summarises the final draft recommendations relating to Bassetlaw District Council's Community Governance Review and asks for the approval of the Council's response to the consultation (**Appendix A**).

Information

2. Bassetlaw District Council is undertaking a Community Governance Review, which is a legal process that considers the most suitable ways of representing the people in the area identified in the review. Outcomes could include:
 - a. Creating, merging or abolishing parishes
 - b. The naming of parishes and the style of new parishes and the creation of town councils
 - c. The electoral arrangements for parishes (for instance, the ordinary year of election, council size, the number of councillors to be elected to the council and parish warding)
 - d. Grouping parishes under a common parish council or de-grouping parishes
 - e. Other types of local arrangements, including parish meetings
3. At its meeting on 16 December 2021, the Governance and Ethics Committee considered Bassetlaw District Council's initial draft proposals. It agreed to send a holding response, noting that the proposals were subject to consultation, with suggestions welcomed from any local stakeholder, that could influence the final proposals and any response that the Council might wish to make later in the process.
4. The deadline for the initial phase of consultation closed on 1 January 2022 and the responses that were received were used by Bassetlaw District Council to produce its final draft proposals ([Agenda for Council on Thursday, 3rd March, 2022, 6.30 pm - Modern Council \(moderngov.co.uk\)](#)). The County Council has now been invited to comment on these.
5. The recommendations and final proposals of Bassetlaw District Council on which this Council is being asked to comment are set out in the following table:

Area	Recommendation / Proposal
Ranskill and Torworth	That further consultation be undertaken by Bassetlaw District Council on the boundary between Ranskill and Torworth in the rear of Field View Gardens before formulating a proposal. There are no proposals presented to change boundary on the western side of the A638.
Carlton in Lindrick and the unparished area of Worksop	The area defined by the Rippon Homes development at Blyth Road / Thievesdale Lane to be transferred from the parish of Carlton in Lindrick to the unparished area of Worksop (this would affect the district Ward boundary). Any final decision on this boundary would need the approval of the Local Government Boundary Commission for England.
Holbeck and Welbeck Parish Council and Cuckney and Norton Parish Council	That proposals to merge Holbeck and Welbeck Parish Council with Cuckney and Norton Parish Council are supported in principle
Rampton and Woodbeck Parish Council	To increase the number of parish councillors from 7 to 8
Beckingham cum Saundby Parish Council	To reduce the number of parish councillors from 11 to 8

6. Since the conclusion of the first stage of consultation, a proposal to increase the number of parish councillors on Misson Parish Council has been withdrawn.
7. While the consultation period for this stage of the review closes on Friday 27 May 2022 (before the Committee meets), Bassetlaw District Council has agreed that the Council could submit a draft response (**Appendix A**), with a final response being provided once the Committee has made its decision. Responses received during this stage of consultation will be considered by Bassetlaw District Council at its Council meeting on 23 June 2022.
8. In preparing the draft Council response to the final draft recommendations, all of the County Councillors whose Divisions are in Bassetlaw District were consulted.
9. A Council undertaking a Community Governance Review may ask the Local Government Boundary Commission for England to make changes to boundaries at district or county level to reflect reviewed parish boundaries and coterminosity. The proposals that are subject to the current consultation exercise would not impact on County Divisions. This is consistent with the draft proposals considered by the Governance and Ethics Committee in December 2021. This means that the Council does not need to make any requests for related alterations as part of its response.

Other Options Considered

10. The Council could choose not to submit a response to the consultation.

Reason/s for Recommendation/s

11. The report submitted to Bassetlaw's full Council meeting on 3 March 2022 sets out the feedback received during the first consultation period and how this has been taken into account in drafting the final proposals.
12. If any individual Councillor or group wishes to make their own comments on these proposals, they are able to make them directly to Bassetlaw District Council.

Statutory and Policy Implications

13. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Implications for Service Users

14. From a County Council perspective, it is not anticipated that the proposals will have any effect on service users.
15. There are wider impacts of the review, which will be for Bassetlaw District Council to consider when it develops its final proposals and subsequently votes on the final recommendations. These implications are an effect of the wider review and do not relate to County Divisions. These implications include the potential for affected residents' precept to change if they move from one parish to another, their representation at parish council level, and ensuring that there is consistent community identity within neighbourhoods.

RECOMMENDATION/S

- 1) That the Chief Executive be authorised to submit the response at **Appendix A** to the report to Bassetlaw District Council as Nottinghamshire County Council's response to the consultation on the final draft proposals of its Community Governance Review.

Marjorie Toward

Service Director – Customers, Governance and Employees

For any enquiries about this report please contact:

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Constitutional Comments (LW 05/05/2022)

16. Governance & Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments (SES 03/05/2022)

17. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- [Community Governance Review | Bassetlaw District Council](#)
- [Local Government and Public Involvement in Health Act 2007](#)
- [Local Government Boundary Commission for England – Guidance on community governance reviews](#)

Electoral Division(s) and Member(s) Affected

All County Councillors whose divisions fall within the Bassetlaw area are listed below; those Divisions shown in bold include the parishes listed within the terms of reference of the review:

- Blyth and Harworth – Councillor Sheila Place
- **Misterton – Councillor Tracey Taylor**
- Retford East – Councillor Mike Introna
- Retford West – Councillor Mike Quigley
- **Tuxford – Councillor John Ogle**
- Worksop East – Councillor Glynn Gilfoyle
- **Worksop North – Councillor Callum Bailey**
- **Worksop South – Councillor Nigel Turner**
- Worksop West – Councillor Sybil Fielding

Bassetlaw Community Governance Review

Nottinghamshire County Council comment on final draft recommendations

Area	Recommendation / Proposal	Comments
Ranskill and Torworth	That further consultation be undertaken by Bassetlaw District Council on the boundary between Ranskill and Torworth at the rear of Field View Gardens before formulating a proposal. There are no proposals presented to change boundary on the western side of the A638.	Nottinghamshire Council is aware that there is no current consensus amongst local communities regarding the boundary between Torworth and Ranskill Parishes. The Council acknowledges the further period of consultation that is being undertaken before any proposal for the area is formed. As the area affected does not impact on the county division boundaries, the only comment Nottinghamshire County Council wishes to make is to endorse the approach being taken and its recognition of the sensitivity of the matter. In the event that recommendations arising from further consultation affect County Council Division boundaries, the Council asks for the opportunity to make representation around the need for any related alterations.
Carlton in Lindrick and the unparished area of Worksop	The area defined by the Rippon Homes development at Blyth Road / Thievesdale Lane to be transferred from the parish of Carlton in Lindrick to the unparished area of Workshop. Any final decision on this boundary would need the approval of the	Bassetlaw District Council's report which sets out the proposals highlights that the County Councillor for the area is supportive. Nottinghamshire County Council notes the proposal of adjusting the boundary between Carlton in Lindrick and the non-parished area

Appendix A

Area	Recommendation / Proposal	Comments
	Local Government Boundary Commission for England (the boundary affected is the district Ward boundary).	of Worksop, transferring the Rippon Homes development at Blyth Road / Thievesdale Lane, which would move them into the unparished area of Worksop. As the proposal does not affect the division boundaries, the County Council has no comments it wishes to make.
Holbeck and Welbeck Parish Council and Cuckney and Norton Parish Council	That proposals to merge Holbeck and Welbeck Parish Council with Cuckney and Norton Parish Council are supported in principle	The County Councillor for this Division has indicated his support for the proposal. As this proposal has no impact on the County Division boundaries, Nottinghamshire County Council has no further comment that it wishes to make.
Rampton and Woodbeck Parish Council	To increase the number of parish councillors from 7 to 8	The County Councillor for this Division has indicated his support for the proposal. As this proposal has no impact on the County Division boundaries, Nottinghamshire County Council has no further comment that it wishes to make.
Beckingham-cum-Saundby Parish Council	To reduce the number of parish councillors from 11 to 8	As this proposal would have no impact on division boundaries, the County Council does not wish to make any comments on the proposal to reduce the number of parish councillors for Beckingham-cum-Saundby Parish Council.

9 June 2022**Agenda Item: 14****REPORT OF THE SERVICE DIRECTOR, CUSTOMERS, GOVERNANCE AND
EMPLOYEES****WORK PROGRAMME****Purpose of the Report**

1. To review the Committee's work programme for 2021-22.

Information

2. The County Council requires each committee to maintain a work programme. The work programme will assist the management of the Committee's agenda, the scheduling of the Committee's business and forward planning. The work programme will be updated and reviewed at each pre-agenda meeting and Committee meeting. Any member of the Committee is able to suggest items for possible inclusion.
3. The attached work programme includes items which can be anticipated at the present time. This goes to July 2022 because, at the time the report was finalised, dates had yet to be confirmed for the 2022/23 municipal year beyond that time. Once Committee dates have been finalised, the work programme will be reviewed and populated with indicative items for the year.

Other Options Considered

4. None

Reason/s for Recommendation/s

5. To assist the Committee in preparing and managing its work programme.

Statutory and Policy Implications

6. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

- 1) That Committee considers whether any changes are required to the work programme.

Marjorie Toward

Service Director, Customers, Governance and Employees

For any enquiries about this report please contact:

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Constitutional Comments (EH)

7. The Committee has authority to consider the matters set out in this report by virtue of its terms of reference.

Financial Comments (NS)

8. There are no financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

GOVERNANCE & ETHICS COMMITTEE – WORK PROGRAMME (AS AT 26 MAY 2022)

<u>Report Title</u>	<u>Brief Summary of agenda item</u>	<u>Lead Officer</u>	<u>Report Author</u>
21 July 2022			
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council	Marie Rowney	Richard Elston
Annual Fraud Report 2020-21	To review the incidence of fraud over the year and an update on risks and mitigations	Nigel Stevenson	Simon Lacey
Internal Audit Term 2 2022/23	To consider proposed audit coverage for Term 2	Nigel Stevenson	Simon Lacey
Councillor Code of Conduct Review	To consider the findings of the working group	Marjorie Toward	Heather Dickinson
Update on use of resources by Councillors	Annual update to the Committee on the use of resources by Councillors	Marjorie Toward	Keith Ford
To be placed			
Whistleblowing Policy Review	To consider the outcome of the review	Marjorie Toward	Heather Dickinson / Catherine Haywood

