

Planned Action	Officer responsible	Target date for completion	Progress status
<p>1. Progress reporting against key governance action plans: compliance with agreed progress reporting against key action plans for significant aspects of the governance framework.</p>	<p>Group Manager Assurance to monitor and report compliance with agreed progress reporting</p>	<p>Continuous in 2020/21</p>	<p> In progress</p>
<p>1a. LGA Peer Review <i>Recommendations 1 & 2 – developing an inclusive vision for Notts and showing leadership of place</i></p> <p>The September 2020 meeting of the Policy Committee approved a proposal to revisit the issue of local government re-organisation in the County. Subsequent to this and in view of the ongoing pandemic, the Government has decided to defer the publication of the ‘Devolution and Local Recovery’ White Paper until mid-2021. The Council has therefore paused its work on local government reorganisation, and will review its position following the White Paper’s publication. Work will commence to prepare for the new Council Plan and the opportunities that presents to engage fully with all our partners and stakeholders. The current Council Plan is due to run until the spring of 2021.</p> <p>Senior members and directors continue to play an active role in the Nottingham & Nottinghamshire Economic Prosperity Committee.</p> <p><i>Recommendation 3 – reviewing the constitution and operating model</i></p> <p>Updated procedure rules were agreed by Full Council in December 2019, following consideration by the Governance & Ethics Committee in November 2019. Further progress has been hampered by the impact of the Covid 19 pandemic, although the response to the emergency has seen the Council establish its arrangements for broadcasting virtual committee meetings.</p> <p>With regard to the review of the functioning of committees, some initial work has commenced in relation to the Pensions Committee.</p> <p><i>Recommendation 4 – modelling sustainable savings plans</i></p> <p>A significant plank of the Council’s response is the implementation of an improved transformation model, and our priority, strategic programmes for the next phase of our improvement through recovery and renewal from the pandemic. The Improvement & Change Sub-Committee approved proposals in November 2020, a feature of which is the establishment of a Strategic insight Unit to identify continuous opportunity for sustainable transformation and change. The Sub-Committee will continue to monitor progress.</p> <p><i>Recommendation 5 – developing a corporate and agile approach to change and digital</i></p> <p>The Improvement & Change Sub-Committee approved the ‘Improving Customer Experience through Digital Developments’ cross-council programme in September 2019, incorporating five key themes for deliverables. Under this programme, the MyNotts App was successfully launched and continues to be developed further. Significant progress has also been made with the adoption of Microsoft Office 365.</p>			
<p>1b. IICSA An update report to the Children & Young People’s Committee in September 2020 reported good progress against the action plan.</p>			
<p>1c. Ofsted inspection of children’s services</p>			

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<p>Following the annual conversation that took place between Ofsted and the Children and Families Leadership Team as part of the Ofsted inspection framework in November 2020, a full report of the meeting will be scrutinised by Children and Young People's Committee in February 2021. This will detail the constructive conversation around the Council's safeguarding response to Covid, alongside a review of the department's self-evaluation of practice and progress against the areas for improvement identified during the inspection in October 2019.</p>			
<p>1d. Counter-fraud The Annual Fraud Report 2019/20 was presented to the Governance & Ethics Committee in September 2020, incorporating a refresh of the counter-fraud action plan. A further update to Governance & Ethics Committee will be prepared for January 2021.</p>			
<p>1e. Information Governance risks The Information Governance Board, chaired by the Council's Senior Information Risk Owner (SIRO) and comprising senior representation from each Council Department along with the Data Protection Officer and Caldicott Guardian, meets regularly to keep IG risks under active management.</p>			
<p>2. Post-pandemic review: formally review the Council's response to capture and apply learning for the future. This will build on two reports to date to Policy Committee on the impact of COVID-19.</p>	Chief Executive	March 2021	 In progress
<p>Internal Audit completed its initial review of the organisational response to the emergency, which delivered positive assurance. A follow-up review on the secondary phase of the Council's response is currently in progress.</p> <p>Since the October meeting of the Committee, the Emergency Planning Team has reported the outcome of their debriefing survey to the Council's Risk, Safety and Emergency Management Board. This considered the Council's management of the emergency through its emergency response framework and through its significant role within the Local Resilience Forum (LRF). Board Members agreed to absorb and reflect on the survey results.</p>			
<p>3. Local Code of Corporate Governance: review the Local Code to ensure it remains up-to-date with the Council's revised governance practices and arrangements to support ongoing recovery and renewal from the pandemic</p>	Group Manager Assurance	March 2021	 Completed

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<p>The Local Code was updated and approved by the Governance & Ethics Committee at its meeting in July 2020. The Local Code is reviewed annually, as part of the preparation of the Annual Governance Statement. This year's review will have an emphasis on reflecting any lasting impacts arising from the Council's response and ongoing recovery from the pandemic.</p>			
<p>4. Equality Impact Assessments (EIA) – review the approach with key stakeholders and deliver refresher training workshops for completion of EIAs, along with an online e-learning package.</p>	<p>Service Director – Customers, Governance and Employees</p>	<p>March 2021</p>	<p> In progress</p>
<p>Following a review during 2019/20, a programme of management training, comprising a blend of workshops and online e-learning, was due to commence roll-out towards the end of the year and into 2020/21. Work is being commissioned through Corporate Equalities Group, working with the self-managed staff support groups, to review and progress this particularly in the light of issues such as Black Lives Matter. A first deliverable has seen CLT undergo unconscious bias training in September 2020. It is now planned to review the entire equalities training offer, including EIAs, to ensure it remains current with recent developments. The HR Team continues to give advice on EIAs on an ad hoc basis.</p>			
<p>5. Constitution review: completion of the review of the Constitution, incorporating financial regulations for property transactions.</p>	<p>Group Manager – Legal, Democratic & Complaints</p>	<p>March 2021</p>	<p> In progress</p>
<p>As above under 1a. LGA Peer Review</p>			
<p>6. Register of Interests – completion of the current review by Legal Services, followed by approval of proposed changes and awareness raising.</p>	<p>Group Manager – Legal, Democratic & Complaints</p>	<p>March 2021</p>	<p> In progress</p>
<p>Progress has been restricted by demands on the team during the pandemic response.</p>			
<p>7. CIPFA Financial Management Code – shadow implementation during 2020/21, with periodic progress updates to the Governance & Ethics Committee</p>	<p>Group Manager – Finance Strategy & Compliance</p>	<p>The code is applicable from 1/4/2020, with the planned first full year of compliance being 2021/22</p>	<p> In progress</p>

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It is proposed to take a report to Finance & Major Contracts Management Committee to provide an update on progress early in 2021.			
8. Planning & Performance Management Framework: implement co-ordinated reporting of finance, performance and transformation to the Corporate Leadership Team	Group Manager – Assurance	October 2020	 In progress
Progress with this had to be suspended to direct resources to delivery of the data and intelligence products needed to inform the Council’s response to the pandemic. Significant progress has now been made, with implementation of the first iteration of the revised dashboard for the Place and Children & Families Departments.			
9. Performance reporting in specific departments: revised arrangements for monthly performance board reporting in the Place and Chief Executive’s Departments, incorporating the introduction of continuous assurance feeds for key corporate processes.	Group Manager – Assurance	October 2020	 In progress
Good progress is being made with the development of continuous assurance feeds on corporate processes. A first draft format was presented to CLT and to the Chief Executive’s Department Extended Leadership Team in October 2020. The assurance feeds will now be updated regularly, and they will become a key source of intelligence for the 2020/21 year-end assurance reports, notably the Head of internal Audit’s Annual Opinion, the Annual Assurance Mapping report and the Annual Governance Statement.			
10. Benchmarking: co-ordinate CIPFA benchmarking reports and consider its use within the performance management framework, along with other benchmarking tools (eg CFO Insights).	Group Manager – Assurance	December 2020	 In progress
Work has commenced to assess the value the Council derives from its participation in CIPFA benchmarking clubs and from its access to the CFO Insights product.			
11. Audit of performance management: carry out an internal audit review of service planning.	Group Manager – Assurance to arrange for completion of an independent review	October 2020	 Yet to start

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<p>Initial scoping work had commenced prior to the pandemic for a review of service planning, to be conducted by Assurance Lincolnshire through the Council's internal audit collaboration. This was suspended due to the pandemic. Internal Audit's Term 3 Plan for 2020/21 includes a review of 'Post-Covid19 recovery and renewal plans (previously Service Planning)'.</p>			
<p>12. Transformation Operating Model: agree and implement a revised operating model for transformation in the Council.</p>	<p>Corporate Leadership Team</p>	<p>July 2020 - approval of new model January 2021 – New transformation model fully operational</p>	<p> In progress</p>
<p>Having agreed a new model for transformation, improvement and change at its meeting in July 2020, the Improvement & Change Sub-Committee approved further proposals over the autumn to progress the new model. An Interim Service Director for transformation and change was appointed and he is taking the lead in implementing the revised staffing structures approved by the Sub-Committee in November 2020. Key strategic programmes for change have been agreed, and these will be the focus for the Council's transformation over the next few years. The establishment of a Strategic Insight Unit will provide the drive for continued and sustainable change going forward.</p>			
<p>13. Transformation best practice: carry out the National Audit Office self-assessment guidance for best practice in Member scrutiny of transformation.</p>	<p>Group Manager Assurance and Group Manager Transformation & Change to prepare a joint report to the Improvement & Change Sub-Committee</p>	<p>November 2020</p>	<p> In progress</p>
<p>This will now be conducted as a piece of internal audit work, using the self-assessment as a basis for the audit programme. The assignment is included in Internal Audit's Term 3 Plan and should help inform current developments in the Council to design and implement a revised model for transformation and change.</p>			
<p>14. Social care fraud risk: Continue to monitor implementation of the agreed actions from the internal audit review of the Council's response to social care fraud.</p>	<p>Group Manager – Assurance and Service Directors/Group managers with responsibility for social care services</p>	<p>Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure</p>	<p> In progress</p>
<p>The latest position against the agreed actions from Internal Audit's previous reports on this issue was presented to the Governance & Ethics Committee in October 2020. The next update is due in March 2021.</p>			

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<p>15. Risk management:</p> <p>a) Undertake a review of the Council's approach to risk management, including development of an approach to establishing the Council's risk appetite</p> <p>b) Deliver a training session on risk management for the Governance & Ethics Committee</p>	Group Manager – Assurance	<p>a) October 2020</p> <p>b) March 2021</p>	<p> In progress</p> <p> Completed</p>
<p>Progress continues with the Risk, Safety & Emergency Management Board to refresh the approach to corporate risk management. Progress was reported to the Governance & Ethics Committee as part of the 6-monthly update on this topic in February 2021. An initial, brief training slot on risk management was delivered for Members of the Governance & Ethics Committee following its meeting in January 2021.</p>			
<p>16. Vacant property management: further progress report to Governance & Ethics Committee on actions to address the risks identified by the internal audit</p>	Corporate Director - Place	Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure	<p> In progress</p>
<p>The latest position against the agreed actions from Internal Audit's previous reports on this issue was presented to the Governance & Ethics Committee in October 2020. The next update is due in March 2021.</p>			
<p>17. Data quality in Mosaic: greater priority given to addressing issues highlighted by routine reporting</p>	Corporate Director – Adults Social Care and Health	To commence in the 3 rd quarter of 2020/21	<p> Yet to start</p>
<p>This will become a focus for attention from the 3rd quarter of 2020/21.</p>			
<p>18. Pension Fund Committee: active management of the Committee's meetings</p>	Service Director – Finance, Infrastructure & Improvement	Ongoing in 2020/21	<p> In progress</p>
<p>The Pension Fund Committee continues to hold meetings virtually.</p>			

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19. IICSA Accountability & Reparations: update the Council's response for the findings and recommendations of IICSA in its Accountability & Reparations Report	Corporate Director Children's & Families & Service Director Finance, Infrastructure & Improvement	To be determined following publication of the IICSA report	 Yet to start
Further updates and guidance from IICSA are awaited.			
20. ICT resilience: keep the resilience of ICT provision, and development of digital working solutions, under frequent review to remain aligned with the Council's operating environment during recovery from the pandemic.	Group Manager - ICT	As part of established reporting to the Improvement & Change Sub-Committee	 In progress
An update report was taken to the Improvement & Change Sub-Committee in July 2020, to outline the range of actions taken to increase ICT resilience for the changed working arrangements of most of the Council's staff. Continual monitoring and update reporting to the Sub-Committee will remain in place.			
21. Fair Funding & Business Rates Retention: continue to be active in campaigning for the Fair Funding Review to take place.	Service Director – Finance, Infrastructure & Improvement	Ongoing pending an announcement from Government	 In progress
The 2020/21 Local Government Settlement put this back another year, and Covid-19 has impeded further progress; the Government has not produced anything further, nor has it, or the Local Government Association, called any meetings on the subject. The Comprehensive Spending Review was not published in the autumn due to the impact of the pandemic, with a further one year settlement being put forward for 2021/22.			