





















Planned Action	Officer responsible	Target date for completion	Progress status
<b>1. Progress reporting against key governance action plans:</b> compliance with agreed progress reporting against key action plans for significant aspects of the governance framework.	Group Manager Assurance to monitor and report compliance with agreed progress reporting	Continuous in 2020/21	 In progress
<b>1a. LGA Peer Review</b> <b><i>Recommendations 1 &amp; 2 – developing an inclusive vision for Notts and showing leadership of place</i></b> The September 2020 meeting of the Policy Committee approved a proposal to revisit the issue of local government re-organisation in the County. Following this, we have requested an invitation from the Secretary of State to come forward with proposals for unitary local government for the County Council's administrative area. We will now commence a formal process of engagement during the Autumn with both the general public and our many operational and strategic partners. Alongside this, 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. Senior members and directors continue to play an active role in the Nottingham & Nottinghamshire Economic Prosperity Committee.			
<b><i>Recommendation 3 – reviewing the constitution and operating model</i></b> 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. With regard to the review of the functioning of committees, some initial work has commenced in relation to the Pensions Committee.			
<b><i>Recommendation 4 – modelling sustainable savings plans</i></b> A significant plank of the Council's response is the work with our external partner to review our 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 initial proposals in July 2020, and it will consider further developments through the autumn.			
<b><i>Recommendation 5 – developing a corporate and agile approach to change and digital</i></b> 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.			
<b>1b. IICSA</b> An update report to the Children & Young People's Committee in September 2020 reported good progress against the action plan.			






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<b>1c. Ofsted inspection of children's services</b> The next update report to CLT and Committee is being drafted.			
<b>1d. Counter-fraud</b> 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.			
<b>1e. Information Governance risks</b> The Information Governance Board, chaired by the Council's Senior Information Risk Owner (SIRO) and comprising senior representation from each Council Department, meets regularly to keep IG risks under active management.			
<b>2. Post-pandemic review:</b> formally review the Council's response to capture and apply learning for the future. This will build on two reports to date to Policy Committee on the impact of COVID-19.	Chief Executive	March 2021	 In progress
Internal Audit completed its review of the organisational response to the emergency, which delivered positive assurance. The Emergency Management Team is progressing a complementary debrief of the Council's management of the emergency through its emergency response framework and through its significant role with its Local Resilience Forum (LRF) partners. The outcome will be reported to a future meeting of the Resilience, Recovery & Renewal Committee.			
<b>3. Return of Committee schedule:</b> ensure the Committee and Full Council schedule is fully re-established and working safely and effectively.	Service Director – Customers, Governance and Employees	As the Covid 19 pandemic allows	 Completed
Arrangements for holding virtual meetings have been established, and all of the Council's committees are now meeting in accordance with revised schedules for the remainder of the year.			
<b>4. Local Code of Corporate Governance:</b> 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	Group Manager Assurance	March 2021	 Completed

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The Local Code was updated and approved by the Governance & Ethics Committee at its meeting in July 2020. Quarterly governance updates throughout the year will keep under review the need for any further changes to the Local Code in response to developments with the pandemic.			
<b>5. Equality Impact Assessments (EIA)</b> – review the approach with key stakeholders and deliver refresher training workshops for completion of EIAs, along with an online e-learning package.	Service Director – Customers, Governance and Employees	March 2021	 In progress
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.			
<b>6. Constitution review:</b> completion of the review of the Constitution, incorporating financial regulations for property transactions.	Group Manager – Legal, Democratic & Complaints	March 2021	 In progress
As above under 1a. <b>LGA Peer Review</b>			
<b>7. Register of Interests</b> – completion of the current review by Legal Services, followed by approval of proposed changes and awareness raising.	Group Manager – Legal, Democratic & Complaints	March 2021	 In progress
Progress has been restricted by demands on the team during the pandemic response.			
<b>8. CIPFA Financial Management Code</b> – shadow implementation during 2020/21, with periodic progress updates to the Governance & Ethics Committee	Group Manager – Finance Strategy & Compliance	The code is applicable from 1/4/2020, with the planned first full year of compliance being 2021/22	 In progress
It is proposed to take a report to Finance & Major Contracts Management Committee to provide an update on progress during this shadow year.			

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<b>9. Planning &amp; Performance Management Framework:</b> 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. Progress has now resumed, with target implementation for most areas of the CLT performance dashboard from the second half of the financial year.			
<b>10. Service Planning:</b> review the content and timescales for 2020/21 service plans, to support the Council's COVID-19 recovery and renewal plans.	Group Manager – Assurance	October 2020	 Completed
The decision was taken to suspend the requirement for service plans in 2020/21, instead allowing services to focus on their plans for recovery from the emergency response to the pandemic. It is anticipated that the usual format of service planning will recommence from 2021/22.			
<b>11. Performance reporting in specific departments:</b> 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 is due to be presented to CLT and to the Chief Executive's Department Extended Leadership Team in October 2020.			
<b>12. Benchmarking:</b> 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.			

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<b>13. Audit of performance management:</b> 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
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 2 Plan for 2020/21 includes a review of 'Post-Covid19 recovery and renewal plans (previously Service Planning)'.			
<b>14. Transformation Operating Model:</b> agree and implement a revised operating model for transformation in the Council.	Corporate Leadership Team	July 2020 - approval of new model  January 2021 – New transformation model fully operational	 In progress
The Improvement & Change Sub-Committee approved a new model for transformation, improvement and change at its meeting in July 2020. The Sub-Committee also considered emerging findings from the work undertaken by the Council with its external partner, along with emerging themes for transformational programmes of work to improve outcomes for residents whilst enabling the Council to meet its financial challenges. In order to deliver this at pace, the Sub-Committee approved the proposal to establish an additional Service Director post to lead and drive transformation, change and improvement across the Council.			
<b>15. Transformation best practice:</b> carry out the National Audit Office self-assessment guidance for best practice in Member scrutiny of transformation.	Group Manager Assurance and Group Manager Transformation & Change to prepare a joint report to the Improvement & Change Sub-Committee	November 2020	 Yet to start
Completion of the self-assessment will be co-ordinated with current development of the Council's transformation model, and reported later in the year to the Sub-Committee.			

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<b>16. Social care fraud risk:</b> Continue to monitor implementation of the agreed actions from the internal audit review of the Council's response to social care fraud.	Group Manager – Assurance and Service Directors/Group managers with responsibility for social care services	Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure	 In progress
The latest position against the agreed actions from Internal Audit's previous reports on this issue was presented to the Governance & Ethics Committee in October 2020.			
<b>1. 17. Risk management:</b> a) Complete the transfer of responsibility for corporate risk management to the Assurance Group b) Undertake a review of the Council's approach to risk management, including development of an approach to establishing the Council's risk appetite c) Deliver a training session on risk management for the Governance & Ethics Committee	Group Manager – Assurance	a) June 2020  b) October 2020  c) March 2021	 Completed   In progress   Yet to start
The Assurance Group assumed responsibility for corporate risk management during the response to the pandemic. The Risk, Safety & Emergency Management Board (RSEMB) requested that the corporate risk register be updated for the impact of Covid 19, and this was completed and approved by RSEMB, CLT and by the Governance & Ethics Committee at its meeting in September 2020. Work is now progressing with RSEMB to refresh the approach to corporate risk management. Progress is due to be reported to the Governance & Ethics Committee as part of the next 6-monthly update on this topic in February 2021, for which a risk training session for Members will also be prepared.			
<b>18. Vacant property management:</b> further progress report to Governance & Ethics Committee on actions to address the risks identified by the internal audit	Corporate Director - Place	Periodic updates to the Governance & Ethics Committee through Internal Audit's follow-up procedure	 In progress
The latest position against the agreed actions from Internal Audit's previous reports on this issue was presented to the Governance & Ethics Committee in October 2020.			

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<b>19. Data quality in Mosaic:</b> greater priority given to addressing issues highlighted by routine reporting	Corporate Director – Adults Social Care and Health	To commence in the 3 <sup>rd</sup> quarter of 2020/21	 Yet to start
This will become a focus for attention from the 3 <sup>rd</sup> quarter of 2020/21.			
<b>20. Pension Fund Committee:</b> active management of the Committee's meetings	Service Director – Finance, Infrastructure & Improvement	Ongoing in 2020/21	 In progress
The Pension Fund Committee resumed its meetings schedule at County Hall in September 2020, the arrangements for which were managed to ensure the smooth running of the meeting. Subsequent meetings are planned to be held virtually.			
<b>21. IICSA Accountability &amp; Reparations:</b> 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.			
<b>22. ICT resilience:</b> 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.			
<b>23. Fair Funding &amp; Business Rates Retention:</b> 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 will serve as a prompt for further activity on this issue when it is published in the autumn.			