

Financial Management Assurance from KLOEs – Budgetary Control

Congruent plans Effective monitoring & reporting Corrective actions Budget pressures
 In-year forecasting Income stream maximisation Overspending minimised Underspending redirected to pressures

1st Line

2nd Line


3rd Line

Positive assurance 
 Corporate Directors' Annual Assurance Statements.

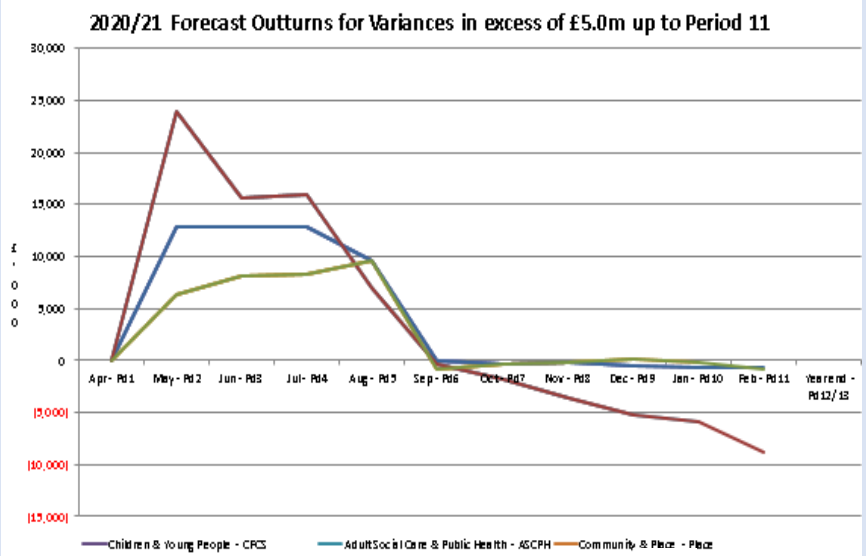
Positive assurance 
 Close in-year budget monitoring and reporting – monthly financial monitoring report to the Finance & Major Contracts Management Committee, including a focus on volatile budgets.


Positive assurance 
 Internal audit of budget forecasting (Mar 2020) >60% recommendations actioned.

Budgetary control processes carried out.

Monitoring of fluctuations shows in-year forecasting is reasonably reliable. 
 The forecast net underspend across all departments for 2020/21 is £12.4m.


Dept	Assurance Level
ASCH	Substantial
C&F	Reasonable
Place	Substantial
CEX	Substantial



Mixed Assurance 

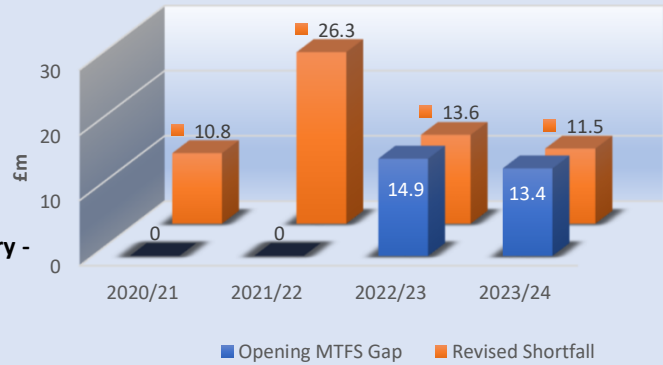
- Covid-19 related Government grants received and factored into forecast financial position.
- The regular review of the financial impacts and the regular Government Delta-2 returns are now established as business as usual
- Anticipated shortfall in funding for the year likely to be £10.8m (to be met from reserves) and over £26m in 2021/22. The new shortfall scenario, next 3 years to 2023/24, is likely to identify a gap of £51.4m:

Internal audit review of Financial resilience – Stage 2 (Sep 2020).

2020/21 Period 11 Summary Capital Programme Position: 

Summary – all Committees	Revised Capital Programme £'000	Actual Expenditure to Period 11 £'000	Forecast Outturn £'000	Expected Variance £'000
Total	119,386	78,805	117,824	(1,562)

Revised MTFS Summary - Cumulative Funding Shortfall Estimates



■ Opening MTFS Gap ■ Revised Shortfall

Financial Management Assurance from KLOEs – Financial Compliance

Compliance with budget holder duties

Financial Regulations compliance

1st Line

Positive assurance 

Corporate Directors' Annual Assurance Statements.

Compliance with Financial Regulations.

Dept	Assurance Level
ASCH	Reasonable
C&F	Substantial
Place	Substantial
CEX	Substantial

2nd Line

Positive assurance 

The Chief Executive's Department is comprised of a range of professional staff delivering routine and ad hoc advice to other managers and Councillors. An important focus of this input is to assist the organisation in complying with internal and statutory regulations.

Financial, constitutional and HR-related comments are provided for all committee reports as a matter of routine.

Financial Control Statement - reported monthly within the Chief Executive's Department, to provide a focus on a range of compliance issues. The evidence available from the period 12 report is summarised as follows:

✓ Effective use of accounting procedures - accounting code maintenance

- 53% budget lines <£1,000 – double the amount last year
- % virement lines <£1,000 – 39% average
- % journal transfer values posted to direct pay codes – 0.11% of debit values.
- % journal transfer lines <£100 - 9.7%

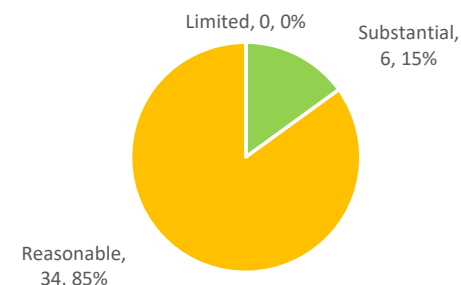
3rd Line

Positive assurance 

Chief Internal Auditor (Group Manager – Assurance) provides a rolling 12-month view of opinions issued by Internal Audit on the adequacy of the Council's system of internal control, governance and risk.

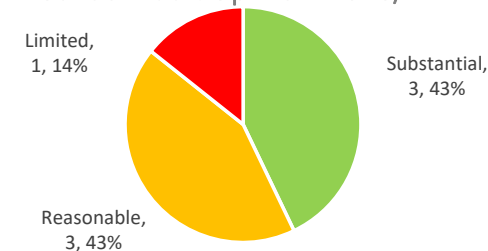
Internal Audit opinions issued in 2020/21 to the end of Term 3:

Opinions:- 2020/21



7 School visits undertaken in 2020/21 - resulted in:

School Audit Opinion: 2020/21



- Compliance with budget forecasting procedure: High level of compliance – as detailed above under 'Budgetary Control'
- Reconciliation of bank and holding accounts: All reconciliations up to date
- Monitoring of accounts payable indicators : 92% paid within terms; Low number and value of open invoices and invoices entered over 30 days
- Monitoring of sales ledger debt: % of total outstanding debt over 6 months old (by value) – 28%
- Bad and doubtful debts monitoring: The number of write-offs per month is low at 42, and the total write-off value for the year is £391,919. This is an average of £37k per month compared to £46k per month in the previous year or £843 per write-off which is not excessive.
- Payroll monitoring: Total value of net pay – monthly payments are relatively consistent around £36m; Low number and value of net pay advances (21 advances totalling £13,537 per month)
- Payovers monitoring: Statutory pay overs (tax, national insurance, statutory maternity pay, etc) are up to date
- VAT issues: No significant issues have arisen
- Capital issues: No significant issues have arisen

Financial Management Assurance from KLOEs – Financial Prudence

Treasury management framework

Investment strategy

Finance charges minimised

Returns on investments

1st Line

2nd Line

3rd Line

Positive assurance 

1st Line staff provide assurance that the Council's Treasury Management Framework and Investment Strategy is applied on a daily basis.

Effective cashflow management (March 2021 Committee report). Updates in the capital programme and cashflow forecasts showed that further borrowing would not be required.

Prudent investment activity – outstanding investment balances totalled approximately £44m at the start of the year and approximately £74m at the end of February 2021.

A snapshot of the return on investments at the half yearly position (Sept 2020) was as follows below. Covid-19 has impacted on the return on Investments, as anticipated, so whilst this is low, it is comparative with other Local Authorities (The LIBID for 2020/21 at the end of Sept 2020 was 0.17 and at the year-end was 0.09%):

Table 2: Snapshot return on Investments	Balance	Return
	£m	%
Total	81.75	0.04
Year-end 31st March 2021	92.2m	0.03



For comparison, here follows a snapshot of the return on investments at the half yearly position in the previous year (Sept 2019):

Table 2: Snapshot return on Investments	Balance	Return
	£m	%
Total	43.4	0.73

Over the same period the average 7 day LIBID was 0.57%

Mixed Assurance 

Whilst PWLB interest rates remain low due to impact of Brexit and Covid-19, the Treasury Management Group continue to monitor PWLB and market rates with a view to borrowing when this becomes necessary and rates favourable.

Positive Assurance 

Strong compliance with the Council's Treasury Management Strategy, as reported to the Finance & Major Contracts Monitoring Committee each month.

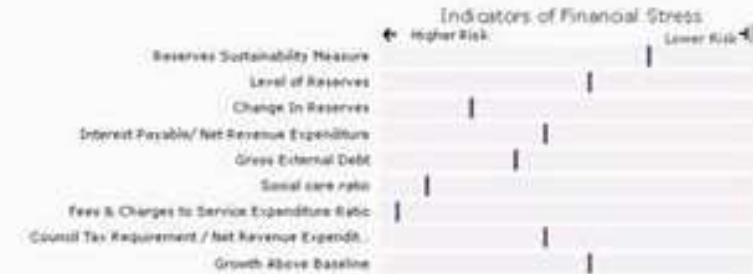
Mixed assurance 

This shows Nottinghamshire's position relative to other County Councils

Its use is limited as data relates to the 2019/20 financial year

CIPFA Financial Resilience Index

Results Breakdown



Positive assurance 

A procedure was introduced for the Treasury Management team to remotely check and approve the daily cashflow, with any surplus invested. Internal audit continuous assurance measures since April 2020 include confirmation that the daily cashflow is checked and approved. Only one error during the period identified.

Reasonable assurance from the Financial resilience audit.

Financial Management Assurance from KLOEs – Value for Money

Service provision review

Use of benchmarking

Options for change

Value for money achieved

Transformation programme delivering

1st Line

2nd Line

3rd Line

Positive assurance

Corporate Directors' Annual Assurance Statements.

Ongoing review of services and use of benchmarking

Dept	Assurance Level
ASCH	Substantial
C&F	Reasonable
Place	Substantial
CEX	Reasonable

Partnerships and collaborations to aid VFM

Dept	Assurance Level
ASCH	Substantial
C&F	Reasonable
Place	Substantial
CEX	Substantial

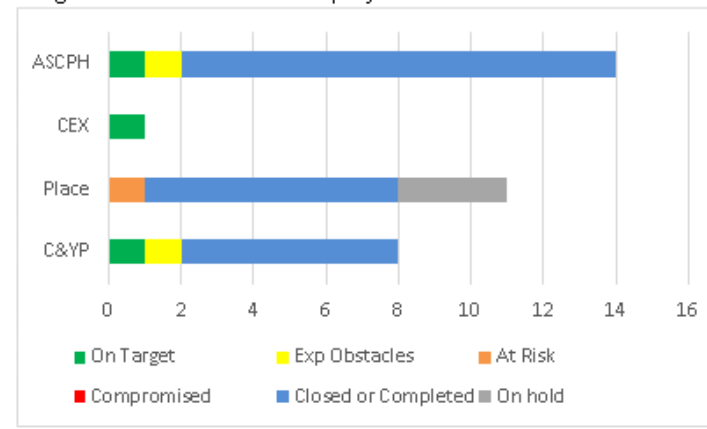


Mixed assurance

CLT reports – March 2021 set on performance, finance and transformation progress:

Dept	CLT Performance Dashboard Summary	Estimated out-turn at period 11 (Feb 2021) (y/end not finalised)
	% measures on track	Overspend /underspend £'000
ASCPP	50%	-8,852
C&F	54%	-687
Place	100%	-838
CEX	82%	-2,090
Total	72%	-12,467

Progress with transformation projects – March 2021:



Positive assurance

External audit unqualified opinion - annual letter 2019/20 – Grant Thornton.

Value for Money conclusion

Unqualified conclusion:- 'We are satisfied that in all significant respects the Council put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2020'.

The Council applies a stringent monitoring regime and the MTFS is monitored and aligned to the vision of the Council and adjusted where necessary.

Transformation Partner:

- The work carried out by the external transformation partner has been concluded, culminating in a new corporate model for transformation, improvement and change. Progress on its implementation has been reported to the Improvement and Change Sub-Committee and programmes are built upon learning from Covid-19 which align to the MTFS.
- The new model for transformation and change includes a Strategic Insight Unit, a transformation and change bureau and a transformation and change portfolio office



Limited assurance from Internal Audit review of Corporate Commissioning 2019/20, implementation of recommendations remains in progress.

Performance Management Assurance from KLOEs

Compliance with Planning & Performance Management Framework

Target performance levels to deliver Council Plan

Effective performance management

Accountability for performance

Use of benchmarking

Actual performance levels achieved

Progress of transformation programme

1st Line


Positive Assurance 

Corporate Directors' Annual Assurance Statements

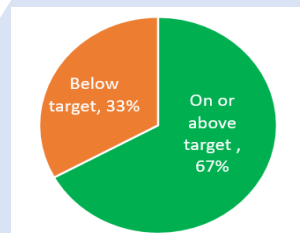
Performance management benchmarking processes


Dept	Assurance Level
ASCH	Substantial
C&F	Reasonable
Place	Substantial
CEX	Reasonable

2nd Line

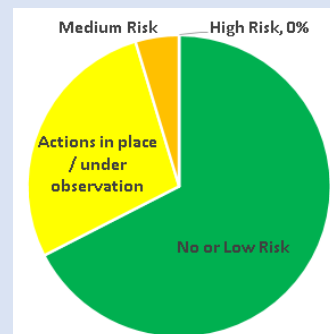
Positive Assurance 

Report to Corporate Leadership Team on 43 Key Council-wide service and strategic performance measures. Position at year-end:



Mixed Assurance 

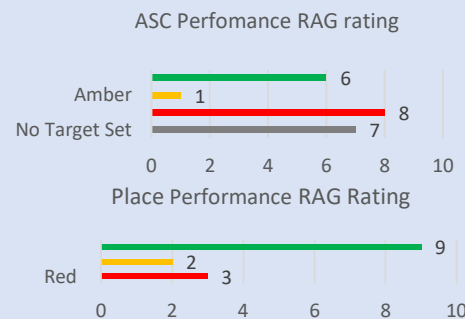
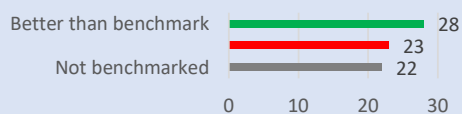
Report to the Improvement & Change Subcommittee on the Council Plan, covering the revised 27 core measures which focus on whether plan commitments are being achieved. As at September 2020:



Quarterly reporting of Adults Social Care department and Place department core data sets to service committees, as at quarter 3, Oct-Dec 20

C&F department performance data is benchmarked against other councils (the national average).

Children & Families Performance as at Q3



There is no consolidated reporting on performance for the Chief Executive department, with reporting being split across various committees. However, relevant performance information has been covered within the Finance, Information and People Management Assurance Maps.

3rd Line

The response to Covid-19 had a significant impact on the Council's activity this year

Positive Assurance 

Covid-19 phase 1 response & recovery internal audit report overall rating:



Mixed Assurance 

Covid-19 phase 2 (draft report) response & recovery internal audit report, overall rating:



Risk Management Assurance from KLOEs

Risk management strategy & framework	National, regional and local horizon scanning	Established risk appetite	Risk registers maintained
Risk mitigation actions carried out	Risk management informs key decision-making	Exposure to significant risks is minimised	Focus on high priority risks
Prompt actions taken where risks materialise			

1st Line

Positive Assurance

- Risk Management Framework continued to operate effectively in 2020/21. RSEMB and RSEMGs met with increasing and variable frequency to meet the demands of the Covid-19 response
- Corporate Emergency Management Team, and RSEMB, also responded to other, significant incidents, notably flooding
- Appropriate insurance cover remained in place during 2020/2021
- Corporate Directors' Annual Assurance Statements, detailing compliance with Corporate Risk Register mitigations

Dept	Assurance Level
ASCH	Substantial
C&F	Reasonable
Place	Substantial
CEX	Reasonable

2nd Line

Emerging Assurance

- The Corporate Risk Register has been regularly reviewed and an update report presented to the G&E Committee on a six monthly basis.
- 11 Risks have been identified in the Corporate Risk Register. Risk scores have decreased in some areas, particularly in relation to COVID and Brexit related risks as mitigating controls have been introduced and risks have reduced.
- Pilot schemes are in place to determine both corporate and departmental risk appetite.
- RSEMB is to receive further proposals for a refresh of the Council's approach to risk management (following the external Healthcheck), along with suggested training for officers and members.

3rd Line

Limited Assurance

Health Check report of risk management arrangements completed by the Council's Insurers. Scope to improve our arrangements and overall risk maturity.



Positive Assurance

- NCC has been awarded ISO 45001 Safety Certification (this is a higher standard than previously awarded) following a BSI audit which examined the existing management system and focussed in detail on how this had been adapted to safely manage the risks posed by COVID19, the provision of a COVID19 secure workplace and a site visit to the Council's PPE distribution facility.
- Adult Social care has not yet been included this certification process as this is included in the second phase of the process, which is in progress.

Asset Management Assurance from KLOEs

Asset strategy and management plans

Asset valuations updated

Asset Inventory

Planned and remedial maintenance

Condition Surveys

1st Line

2nd Line

3rd Line

Positive assurance

- Phase 1 of the Property Services Transformation Programme is complete.
- Corporate Property Strategy 2018-23 continues to operate.
- Corporate Landlord model approved by Policy Committee in October 2020 and is now being applied as “business as usual”.
- Property related entry in the Corporate Risk Register details latest risks and mitigations being applied.
- The ‘Investing in Nottinghamshire - Making the Best Use of Council Premises’ report from 2020, has been followed up by further proposals in a report in February 2021 – ‘Investing in Notts in a COVID environment’.
- The P2 property system maintains the Council’s formal property register, property management and maintenance records.
- Voluntary registration of all Council property assets has been completed with Nottingham District Land Registry to confirm title.

Positive assurance

- Legal Services have formal processes in place in relation to property acquisition and disposals and maintenance of title and acquisitions and disposals are approved by Committee.
- Governance & Ethics Committee received a positive update on progress with implementing the Internal Audit recommendations on the management of vacant property - these are being followed up by Internal Audit
- Adherence to CIPFA code of practice for asset valuations.
- Statutory Compliance Tasks being reported by Arc. Latest figures (May 2021) show only minor remedial works are required to achieve on-going compliance.
- Arc has established a KPI Reporting Sub-Group and produces a set of 27 KPIs at April 2021. Latest position shows these to be achieving, or close to targets, with proposed remedial action determined where targets are not being met.
- Property Compliance Dashboard, demonstrating statutory requirements, is in place. Dashboard extract showing 98.4% compliance is below:



Positive assurance

- Property Compliance Internal Audit report February 2019. Recommendations have subsequently been implemented.
- Positive assurance from external inspections, such as BSI and External Audit .
- Stock safety compliance with BSI safety standard OHSAS 18001 was in place until December 2019 and the higher standard ISO 45001 compliance has been achieved.
- Rolling Property Valuations Completed by external valuers.
- Internal Audit report re: Facilities Management – Corporate Building Reoccupation



Limited assurance

Reasonable assurance

SUBSTANTIAL ASSURANCE

Risk levels are low

Emerging Assurance

- Actions are progressing to strengthen oversight and monitoring.
- Developments under way to deliver a more robust case management process.
- Complete the Service Asset Management Plans which feed the Property Asset Management Plan.
- Establish a quality assurance culture within Property Services which will include the auditing of operational processes.

Mixed Assurance

- Work is in progress on Strategic Asset Management Plans and Property Asset Management Plans, following approval of Transformation Programme.
- Only a limited number of stock condition surveys have been completed, as a newly revised protocol.
- Phase 2 of the Property Services Transformation Programme is now complete and due to report to Policy Committee.

People Management Assurance from KLOEs – Safe Working Environment

Health and Safety Policies

Incident reporting

Routine Health and Safety Audits

Committee and Leadership reporting

Compliance Board

Safety & Emergency Management Board

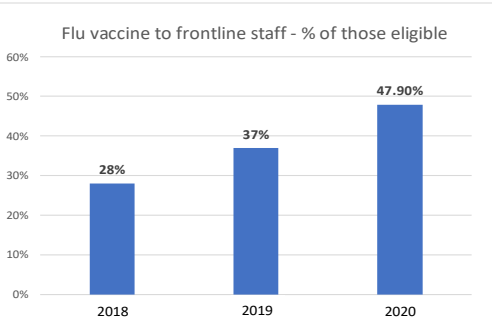
Health and Safety Executive Reporting

External Auditors (BSI)

Positive assurance

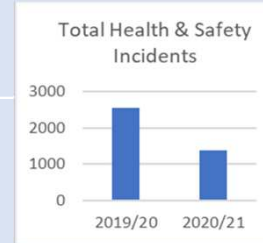
Health & Safety policies and procedures are available on the Intranet. Information is reviewed and updated as necessary.

Flu vaccine: offered to eligible frontline staff (with regular face-to-face contact with vulnerable service users), from Sept to Dec 2020:



Positive assurance

Health and Safety incidents have fallen significantly in comparison to the previous year as result of the shift to working from home.



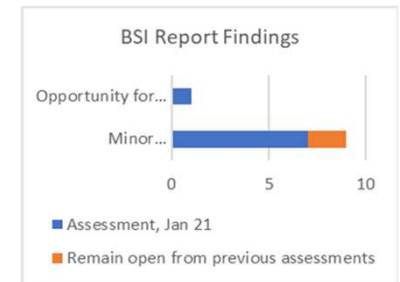
Positive assurance

bsi.

Certificate of Registration

Certification to Occupational health & safety standard ISO 45001 from Feb 2021 to Oct 2022.

BSI inspections identified minor findings, which are being addressed.



Implemented a Risk Assessment Tool to identify and manage risk for all staff and especially those from vulnerable groups in relation to Covid-19.

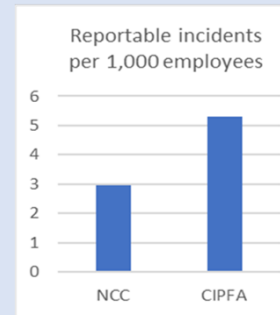
24/7 extension of counselling provision.

Response to Covid-19 risks:

2,242,743	PPE items distributed
8 weeks	Stock of PPE maintained (4 weeks to source supplies plus 4 weeks resilience)
350	Face-fit tests for higher level respiratory PPE
2,866	Responses to home working questionnaire

Mixed assurance

HSE RIDDOR reportable incidents compare favourably with the CIPFA average. However, incidents have increased from 21 in 2019/20 to 22 in 2020/21.



Positive assurance

Employer's Liability claims have fallen.

Year	Claims Received	Liability Accepted	Repudiated	Total Cost
2018/19	28	10	18	£306,334
2019/20	20	3	17	£186,869
2020/21	10	0	10	£208,678

No Health & Safety Executive fines or enforcement notices in the year.

People Management Assurance from KLOEs – Staffing Capacity & Staff Affordability

Workforce Planning

Application of VCDR Process

One – to – One meeting and EDPR delivery

Management Monitoring

Personnel Committee reporting

Human Resources Policies and Procedures

1st Line

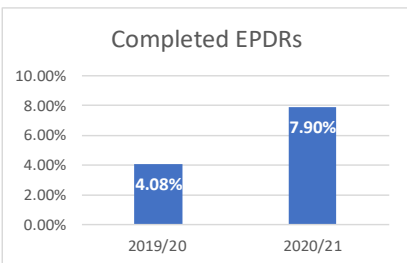
Positive assurance

Policies and procedures available to all staff in the Personnel Handbook.

Corporate Directors' Annual Assurance Statements:
Undertaking regular and effective EPDRs.

Dept	Assurance Level
ASCH	Reasonable
C&F	Reasonable
Place	Substantial
CEX	Reasonable

Completion of online EPDRs is low. This may be due to the relatively new commencement of the online system. Also, during Covid-19 they were not an immediate priority. Ideally these should increase in the following year.



- New emergency redeployment process in place. 140 Skills Profile Forms were completed (including team proformas) to enable effective covid response.
- New dashboard developed reporting on daily employee availability.

2nd Line

Positive assurance

Graduate Development Programme continued.

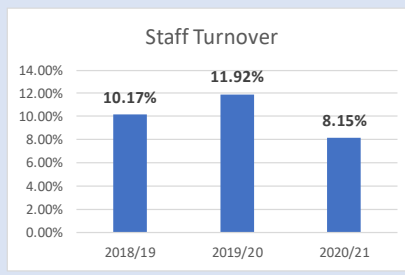
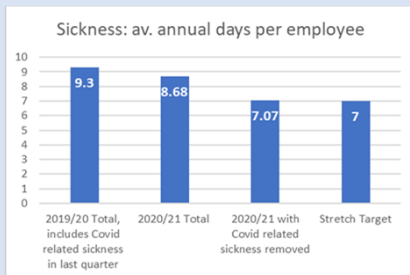
Cohort 1 started 2018	cohort 2 started Sept 2019	cohort 3 started Jan 2021
6	5	6

4 graduates from cohort 1 secured permanent jobs within NCC after completing the scheme. Others not yet completed scheme.

Apprenticeships are increasing towards the public sector target.



Sickness levels have improved and when Covid-19 related sickness is adjusted for, the stretch target is only narrowly missed.



The staff turnover percentage has dropped below the usual fluctuation range for NCC and this a likely reflection of the presence of uncertainty during the pandemic.

3rd Line

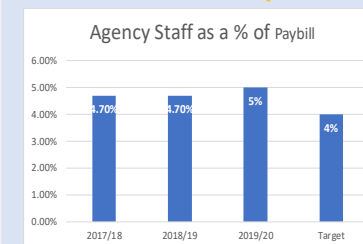
Positive assurance

Internal Audit review of Covid-19 response Phase 1. Opinion on Workforce:



Substantial Assurance

Mixed assurance



Positive assurance

Internal Audit review of Covid-19 response Phase 2. Opinion on Workforce:



Substantial Assurance

Workforce remodelling has been partially implemented in ASCH but has experienced delays due to Covid-19. Further implementation is expected from June 2021.

People Management Assurance from KLOEs – Staff Motivation

Equalities policies and procedures

Routine reporting of key indicators

Staff satisfaction surveys

Workforce diversity statistics

Incident monitoring

Stonewall equality index

1st Line

2nd Line

3rd Line

Positive assurance 

Corporate Directors' Annual Assurance Statements:

Effective induction for new staff

Dept	Assurance Level
ASCH	Reasonable
C&F	Reasonable
Place	Substantial
CEX	Substantial

Positive assurance 

An additional 6 Mental Health First Aiders, nominated by the Black Workers Network, have been trained.

A Covid-19 Training Resource package was created in March 20, which had been accessed by 1085 employees as at Jul 20.

Over 45,000 training modules have been completed by employees over the course of the pandemic to March 2021

Positive assurance 

An employee well-being survey was undertaken in April 2021. 2,248 responses were received, approximately 30% of the Council's workforce. Survey findings were:

Overall, in terms of wellbeing the majority of employees reported feeling satisfied with their health, safety and wellbeing at work, and with the support, supervision and guidance they receive from their manager. It was reassuring to note, also that the majority of employees feel valued as part of a team.

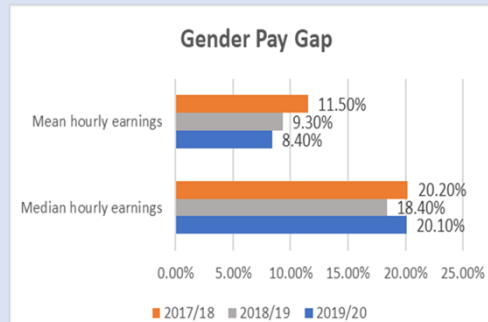
Introduced free financial advice sessions of up to 45 minutes duration for every employee.

The Pay Multiple – the ratio of the Chief Executive's pay to the lowest and median earners – is calculated as at 1st Feb each year. There is no national or local target for the multiple, but it is in line with Government recommendations, and has improved:

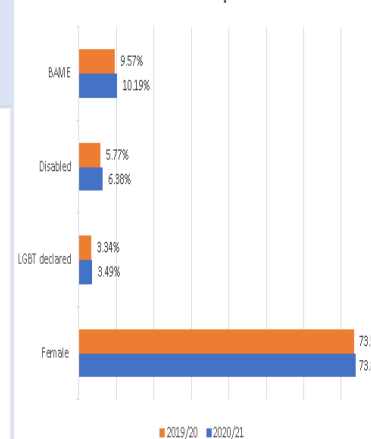


Mixed assurance 

The average gender pay gap has narrowed. The median has slightly increased due to decrease in turnover.



Diversity



Workforce diversity has generally increased. There are still low disclosure rates for disabled employees. Work is underway to improve.

Positive assurance 

Disability Confident Employer certification in April 2019. Submission for Disability Leader status June 2021.



Timewise accreditation as a flexible employer during covid - supports ambitions to remain an employer of choice and move to increased hybrid working.

Internal Audit review of Covid-19 response & recovery Phase 2. Opinions on Smarter Working and Communication.



Information Management Assurance from KLOEs

Processes are in place to avoid major failure of IM & IG

Incident management processes are in place so that cyberattacks are swiftly detected

A high level of systems availability is maintained

Appropriate training has been given to Members and Staff, to ensure confidentiality and secure records management

Back-ups and Emergency Planning are in place to ensure resilience

Investigations are undertaken where data breaches occur

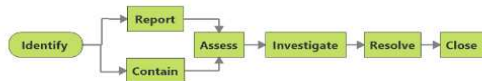
1st Line

Positive Assurance

There is a Data Security Incident & Breach Management Procedure.

Incident Management

24. This section outlines the key stages of incident management which are:



Corporate Directors' Annual Assurance Statements:

arrangements for keeping sensitive and personal information secure, in compliance with data protection requirements and, where relevant, with Caldicott Guardian principles.

Dept	Assurance Level
ASCH	Reasonable
C&F	Reasonable
Place	Reasonable
CEX	Substantial

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

Mandatory Information Governance Training is in place for all staff. In the February reports figures weren't available, but for March-August 2020, 91% of new starters completed the training in target timescales and 88.36% were trained across NCC.

2nd Line


Positive Assurance

Corporate Risk Management report to G&E Committee shows that no corporate risks have increased since September 2020 (as of February 2021). IG is one of two corporate risks that has been reduced.

Risk	Sep 2020	Feb 2021	After actions
1. Information governance	VH	H	M
8. ICT	H	H	L

Mixed Assurance

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 and are actively working on an action plan.

CLT Performance Data related to data breaches: 

CLT Performance Dashboard Summary of Results up to March 2021

Updated Measures	Latest	Target	Previous	Good is...	Risk
Number of self-reported data breaches to ICO (Q4)	0	N/A	0	Low	
Any breach enquiries raised by the ICO (Q4)	0	N/A	3	Low	

IGT Data Protection Impact Assessments (DPIAs) headlines for 2020/21:

- 85 full DPIAs completed 2020/21
- 20 Short-Form DPIAs completed 2020/21
- 145 Summary DPIAs assessed (extrapolation based on 10 months data)
- 22% of summary DPIAs require a full or short-form DPIA.
- 91 full or short-form DPIAs currently in flight – solid reduction in backlog.

3rd Line

Positive Assurance

Internal Audit review of Information Governance Improvement Programme (February 2019), this included a review from Essex CC. These actions have been cleared:




Internal Audit review of Internet Controls (January 2020):




Internal Audit review of Active Directory (March 2021):



Annual PEN testing for PSN Accreditation 

Data Security & Protection Toolkit standards met, due for resubmission end of June 2021. 

Cyber Essentials failed in 2021, due to change in accreditator and requirements. This will be addressed through a remediation plan in place for resubmission in July 2021. 

Commissioning & Procurement Assurance from KLOEs – Strategy and Resources

Corporate approach to strategic commissioning developed
Procurement Strategy Strategic Themes – Best Value, Social Value and Leadership
Detailed Procurement Plan in progress

Forward procurement planning in place
Performance updates reported to CLT and Finance and Major Contracts Committee

1st Line

Positive assurance

Procurement Strategy – approved at Policy Committee – Nov 2019, setting out framework for the procurement of all goods, works and services – creating a consistent approach. Incorporates:

- Cross-cutting programmes undertaking a strategic commissioning view.
- Tools for best practice – Commissioning Tool-kit, and high level 'How to Guide' for senior commissioners.

Toolkit Includes flow charts and contract management guidance is divided into 5 key stages as below:

- Pre-Procurement
- Procurement
- Implementation
- Contract Management
- Exit Management

- Workforce development – training plan for commissioning skills and capability across all levels.
- Category Managers aligned to each department. Providing 2-3 year forward plans and meet with commissioners quarterly to refine plans.
- Single register of contracts across the authority maintained.
- ASCH Commissioning Programme approved by SLT and signed off Jan 2021.
- C&YP – established governance process and use SharePoint to share information.

2nd Line

Positive assurance

Good oversight by Commissioning and Programme Boards.

- Forward procurement plans discussed with Directorate Commissioners and their respective SLTs.
- Focussed session at CLT and dedicated time at ELT
- Monthly Strategic Oversight Group Coproduction - Corporate prevention Group (C&F, CEX and ASCH) involved in corporate transformation work linking into prevention and early intervention strand..
- Delivering major programmes of work approved through Policy Committee.
- Strong support from Legal and Finance Teams.
- Statistical analysis for ASCH commissioning provided internally as supported by the Service Improvement Team, Projects and Programmes Team and Performance Team.



Place – Internal Property Construction and Maintenance Board – meeting monthly – reporting to Finance and Major Contracts Committee. Separate project board overseeing projects commissioned through VIA.



Limited assurance

- Category managers link in with D2N2 and Nottingham City. More work needs to be done to develop links with Health Commissioners in the CCGs.
- ASCH reporting to Committee and Commissioning Board has been sporadic, due to Covid-19 and commissioning has been rapid moving.
- ASCH planned tender timelines have been impacted by Covid-19



CLT receive a contract management update from the Procurement Group Manager in Sept/Oct each year detailing outcomes and KPIs.

3rd Line

Positive Assurance

Health and Safety ISO 45001:2018 accreditation achieved. Included positive messages regarding procurement Toolkit incorporating strong focus on H&S compliance.

- LGA Virtual Peer Challenge of Inspire and NCC (Feb 2021) – generally positive feedback.

Internal audit of Contract Management 2018 – Limited Assurance. Indicated contract management arrangements varied across departments.

- Actions taken to address concerns.

Mixed Assurance



Mixed assurance - Participation in external reviews– (ASCH) Mini-audit e-digital readiness to ADASS. Managing of Covid-19 issues ADASS best practice survey, providing benchmarking and areas for improvement.

Emerging Assurance



Internal Audit of Commissioning – June 2020 – Limited Assurance

- Link between service strategies and actual commissioning plans not always clear..

- Actions to address this link to the work undertaken by transformation partners, Newton Europe, on strategic commissioning which is under way.

Commissioning & Procurement Assurance from KLOEs – Consistent and Effective

Professional Training
Performance KPIs and updates

Post-project reviews
E-learning for Financial Regulations

Standardisation of processes through Toolkit

1st Line

Positive assurance

Centralised procurement team to ensure consistency.

- Standardised documents used for whole process.
- Procurement e-tendering portal provides end to end process from advertising contract to evaluation and documentation.
- Development of contract management Toolkit to strengthen contract management processes– provides consistency in the cycle.
- Purchases made through green and red route shopping carts. Only those fully compliant with contract go through green route. Red routed purchases flagged up and Procurement Department have to approve

Contract Management training programme developed and rolled out to ASCH and C&YP. Further sessions planned for Place Dept together with e-learning packages.

- Corporate Procurement are currently developing an e-learning module on compliance with Financial Regulations and legislation.
- Apprenticeship funding has been secured for Corporate Institute of Procurement and Supply (CIPS).

Mixed assurance: Outputs and outcomes:

Departmental key contacts report some issues to be addressed:

- Services not always commissioned in line with procurement strategy or through Corporate Procurement so may not adhere to same standards.
- Place – reviews vary depending on type of contract.
- ASCH post-project reviews and quality assurance not so stringent due to Covid-19.
- C&YP – post-project reviews are evidenced in Share-point but tend to be informal or conducted outside the Commissioning Team.

2nd Line

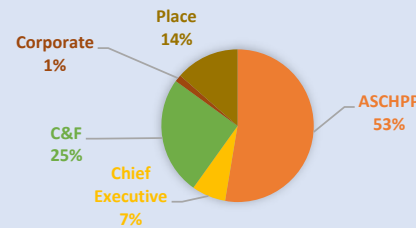
Positive Assurance

- Commissioning Board reviews progress and outcomes and can challenge where outcomes not being met.
- Contract management practitioners' group set up in summer 2020 with key contracting leads from each department meeting quarterly to share best practice and support each other on contract management issues.
- The Procurement Centre provide an oversight of green and red routing compliance with waiver numbers. Lower number of waivers rejected in 2020/21 compared to 2019/20 indicates better adherence and forward planning.
- Agreed set of social indicators:

Indicator	Percentage (of total live contracts)	Target
Contracts awarded to local supplier	57%	50%
Contracts awarded to SMEs	59%	50%
Contracts providing local employment opportunities	12%	25%

- Spend analysis reports – overall spend and breakdown by department using raw data from BMS and Mosaic and top provider combined spend across departments - provided to SLT, with cross referenced to contracts register. Top 5 cost elements highlighted.

OVERALL SPEND BY DEPARTMENT 2019/20:
£539,060,732



3rd Line

Positive Assurance

External reviews – (ASCH)Mini-audit e-digital readiness to ADASS.

Managing of Covid-19 issues ADASS best practice survey .

Corporate Procurement achieved the runner up award in a Government Office competition for an ASCH project.

The regional commissioning leads group for children's services has been formed to develop strategic networks.

Transformation Assurance from KLOEs

Transformation Function Established
Slippage identified and reported

Council-wide coverage
Risks to Delivery identified and monitored

Savings Opportunities Identified
Post-Project evaluations

Committee and Leadership reporting
External and internal assessments

Savings & Improvements reported and achieved

1st Line

2nd Line

3rd Line

Positive assurance

Corporate Directors' Annual Assurance Statements.

Engagement with stakeholders, for service changes and developments

Dept	Assurance Level
ASCH	Reasonable
C&F	Reasonable
Place	Substantial
CEX	Substantial

- Transformation covers all council departments
- Standard Prince 2 methodology & reports
- Each project has a risk register & 'lessons learned' log

Work in Progress

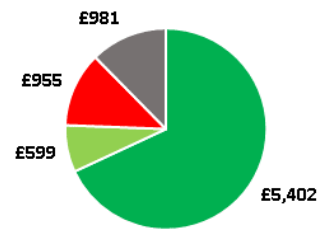
Transformation & Change restructure approved, and posts being filled.

Significant new transformation & change programmes to start in 2021/22.

Positive assurance

76% of the annual savings target is achieved or on target. (At year end).

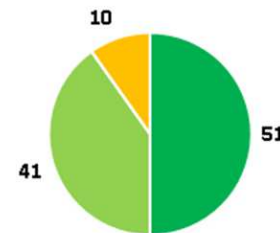
Council-wide Savings Projects at year-end



■ Achieved ■ On target ■ At risk ■ Reductions and Slippage

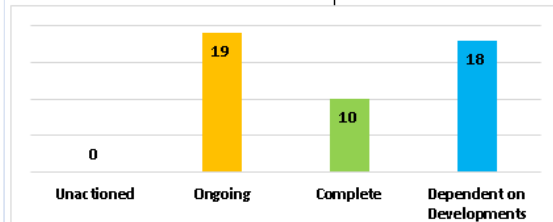
90% of departmental Improvement and Change Portfolios are completed or on target. (At year end).

Departmental Improvement & Change Portfolios at year-end



■ Completed ■ On Target ■ Experiencing Obstacles

➤ All 47 criteria had been addressed:



Positive Assurance

Internal Audit review of National Audit Office Transformation guidance for Audit Committees:



Work with external consultants has been completed and now forms the basis for identifying future transformation programmes, as reported to the Transformation & Change Committee.