

Agreed action and risk	Original implementation target and position at the previous follow-up in Nov 2022	Latest progress update	Internal Audit follow-up
<b>Pre-2021/22 audit reports</b>			
<b>Budget Forecasting (cross-cutting) – March 2020</b>			
<b>Training</b> 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  Nov 2022: Progress was previously delayed by additional work arising from Covid. Then the update to Governance Arrangements included a review and update of the Financial Regulations, which is also to be included in the training. This was to be revisited after the year-end accounts activities, and the delayed external audit visit which was due to end in early October.	Delays to the 2021/22 external audit, and staff vacancies, have delayed the planned development of on-line training. Budget training continues to be delivered by finance staff to individual budget holders as and when required. Monthly budget monitoring has not identified any inaccurate forecasts and the overall budget monitoring process continues to be robust.	To be followed up in next 6 months.
<b>Commissioning (cross-cutting) – June 2020</b>			
<b>Commissioning Project Management</b> 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>	October 2020  Nov 2022: This is now addressed by the Departmental Commissioning Boards established for the Adults and Children's departments. A Place Department commissioning and contracts group was still to be set up.	This was largely addressed by the Departmental Commissioning Boards established for the Adults and Children's departments. For the Place Department, there are discussions on how commissioning activity can be covered by the Place Leadership Team meetings, so we will continue to track this.	To be followed up in next 6 months
<b>Training and quality control</b> 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>	October 2020  Nov 2022: A cross-departmental task and finish group of commissioners carried out a skills audit, and from this a training plan was to be developed to deliver the organisational development and cultural change required as part of the adoption of the Strategic Commissioning Framework, Toolkit and Training Plan to be launched in early 2023.	A new Strategic Commissioning Framework went to Cabinet in March 2023. The Cabinet Report included a Training Plan with timescales for implementation from April 2023. It also included a Draft Strategic Commissioning Toolkit. Internal audit will review the introduction of the Training and Toolkit in our next 6-monthly follow-up.	As above

## Overdue Priority 1 Actions

## Appendix 1

Agreed action and risk	Original implementation target and position at the previous follow-up in Nov 2022	Latest progress update	Internal Audit follow-up
<b>Databases and data analysis</b> 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>	October 2020  Nov 2022: The current Strategic Commissioning Programme is being supported by a Business Analyst from the Strategic Insight Unit. However, this level of support cannot be available for all commissioning activities. It is intended that through the online Toolkit, which is being developed as part of the programme, there will be further information collated for commissioners of useful links and resources for them to use to be able to support and aid their data analysis.	The new Strategic Commissioning Framework which went to Cabinet in March 2023 is based on 8 principles including, but not limited to, Data Analysis. Internal audit shall obtain a wider update on the embedding of strategic commissioning across the Council in our next 6-monthly follow-up.	As above
<b>Business Continuity Planning (BCP) (cross-cutting) – August 2020</b>			
<b>Training</b> 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.  <i>Risk: Lack of engagement from BCP managers and ineffective actions taken in the event of an emergency.</i>	March 2021  Nov 2022: Consideration has begun to be given to the inclusion of Business Continuity in a suite of new e-Learning modules.	The Risk, Safety and Emergency Management Board (RSEMB) have agreed that a full and thorough review of the Council's business continuity arrangements is urgently required considering the significant lessons identified from the response to the Covid-19 pandemic, a Ransomware (Cyber) attack exercise and the County Hall fire. The RSEMB have agreed that the Business Continuity Forum will be formed again to lead this work. The work will be led by the Head of Service Delivery Governance & Standards, Technology & Digital ICT, and supported by the Emergency Planning Team.	To be followed up in next 6 months.
<b>BCPs on SharePoint</b> Managers of critical services in the ASC&PH 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.  <i>Risk: Services deemed as critical do not have an action plan in the event of an emergency.</i>	March 2021  Nov 2022: Specific Emergency Planning Officers have been assigned to support ASC&H and C&F managers of critical services. Internal audit await confirmation that Business Continuity Plans have been produced for the 10 services in these departments that did not have one.	The programme of work, overseen by the Forum will include: <ul style="list-style-type: none"> <li>Review of the NCC Business Continuity strategy, considering organisational changes since the last review (hybrid working, investing in Nottinghamshire, ASDMs/Outsourcing).</li> </ul>	As above
<b>Annual Reviews of BCPs</b>	March 2021	<ul style="list-style-type: none"> <li>Review of the current corporate Business continuity arrangements as</li> </ul>	As above

## Overdue Priority 1 Actions

## Appendix 1

Agreed action and risk	Original implementation target and position at the previous follow-up in Nov 2022	Latest progress update	Internal Audit follow-up
<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>	<p>Nov 2022: The Emergency Planning Team has recommended the re-establishment of the Business Continuity Forum to lead and support the future maintenance of effective business continuity plans.</p>	<p>outlined in the NCC Corporate Plan, to address gaps.</p> <ul style="list-style-type: none"> <li>• Review of NCC Critical Services list.</li> <li>• Review and revision of critical service plan templates and guidance, to include cyber incidents and lessons from Covid and the County Hall fire.</li> <li>• Monitoring of progress of Business Continuity incident recommendations e.g. Ransomware attack action plan approved at the RSEMB in July.</li> <li>• Liaison with RSEMG's and critical services to ensure BC plans and arrangements are up to date.</li> <li>• Identification of training needs for Emergency Planning to develop eLearning / workshop.</li> <li>• Validation of new corporate BC plans and arrangements (through exercising).</li> </ul> <p>The Forum have been asked to prioritise the review and revision of critical service plan templates and guidance to support departmental business continuity planning.</p>	
<b>2021/22 audit reports</b>			
<b>Sale of land and building properties (Place Dept) – November 2021</b>			
<p><b>Asset Management Plans</b> To develop the Service Asset Management Plans.</p> <p><i>Risk: The property requirements of the Council may be unclear.</i></p>	<p>March 2022</p> <p>Nov 2022: Progress was delayed by Covid-19, after which a restart was made in the Children's Department. A new Strategic Business Partner is now working with the Children's Department on the Service Asset Management Plan for their area.</p>	<p>Some progress was made before a delay caused by Covid-19. It is on the Property Services action plan for this year to complete Suitability Assessments for all properties and Service Asset Management Plans for all services.</p>	<p>To be followed up in next 6 months.</p>
<b>Governance of 'Category A' Outside Bodies (Chief Execs Dept) – December 2021</b>			
<p><b>Ownership of Company Governance</b></p>	<p>April 2022 to June 2023</p>	<p>Responsibility for monitoring has been allocated to Corporate and Environmental Law Team. To strengthen the control</p>	<p>An annual governance report on the companies is</p>

## Overdue Priority 1 Actions

## Appendix 1

Agreed action and risk	Original implementation target and position at the previous follow-up in Nov 2022	Latest progress update	Internal Audit follow-up
<p>Centralise the Council's monitoring of its companies' governance arrangements.</p> <p><i>Risk: Lack of oversight and assurance</i></p>	<p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>framework it is proposed to develop an established model for engagement with Outside Bodies - defining shareholder/director roles and responsibilities; managing conflicts of interest, governance assurance and financial &amp; viability assurance requirements of the Council, with responsibility for different aspects allocated to officers with appropriate skills and knowledge. Further update on the proposal will be provided via the first proposed annual governance report on the companies to the G&amp;E committee.</p>	<p>to be provided to the G&amp;E Committee. Internal audit will also follow this up in the next 6 months.</p>
<p><b>Roles and Responsibilities</b> Ensure appropriate Council representatives are on each company's board, and appointed as shareholders, and their roles are clear and understood.</p> <p><i>Risk: Ineffective governance if roles and responsibilities are not defined.</i></p>	<p>November 2022 to June 2023</p> <p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>There has not been a comprehensive review of appointments to the companies. However, some appointments have been changed due to changes in personnel at the Council.</p>	<p>As above</p>
<p><b>Training and Development</b> Professional training provided to Council representatives on each company's board, and those appointed as shareholders.</p> <p><i>Risk: Ineffective governance if representatives are not appropriately trained.</i></p>	<p>November 2022</p> <p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>Training was offered to all known directors of the companies as of December 2022. Five directors attended the training in January 2023 and a record kept. However not all directors attended, and some new directors have since been appointed.</p>	<p>As above</p>
<p><b>Conflicts of Interest</b> Review the Council representatives on each company's board, and those</p>	<p>November 2022 to June 2023</p> <p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>No formal review of appointments has taken place to check for risks of conflicts of interest. However general advice on conflicts was covered in the training for</p>	<p>As above</p>

## Overdue Priority 1 Actions

## Appendix 1

Agreed action and risk	Original implementation target and position at the previous follow-up in Nov 2022	Latest progress update	Internal Audit follow-up
<p>appointed as shareholders, for any conflicts of interest. Manage this on an ongoing basis.</p> <p><i>Risk: Ineffective governance if conflicts of interest are not managed.</i></p>		<p>Directors (above) and specific advice was given to manage a potential conflict that was identified in the case of one company directorship.</p>	
<p><b>Assurance Reporting</b></p> <p>Performance reporting by the companies to be tracked, and an annual governance report on the companies to be provided to the G&amp;E Committee.</p> <p><i>Risk: Governance is not demonstrated if arrangements are inconsistent.</i></p>	<p>December 2022</p> <p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>This reporting, which is a matter for the relevant service departments, is anticipated to feature in the first annual governance report on the companies to the G&amp;E Committee.</p>	<p>As above</p>