

Annex B – Tracking of High Priority Recommendations Issued in 2020/21, 2021/22 & 2022/23 to 27 Jan 2023

Department	Division	Activity	Level of Assurance	DoT	High	Audit Assessed			Management Assessed		Trend	
						Complete	Not Yet Due	Overdue	Complete	Overdue		
NCC Corporate	HR & EDI	Gifts & Hospitality	Limited Assurance	↔	2	1	0	1		1	↔	
	Legal & Governance	Decision Making	Limited Assurance	-	3	2		1		1	↔	
NCC Corporate Total					5	3	0	2	0	2		
Finance & Resources	HR & EDI	Disciplinary Process follow up 2021-22	Limited Assurance	↑	2			2	2	0	↔	
		NCC Payroll & HR 2020-21	Moderate Assurance	↔	0							
		Overtime Pay Policy Compliance 2021-22	Moderate Assurance	↔	0							
		Sickness Management 2022-23	Limited Assurance	↔	3			3		3	↔	
	HR & EDI Total					5	0	0	5	2	3	
	Information Technology	Cloud based applications (Software as a Service)	Moderate Assurance	-	1	Note: 3 high priority recommendations included in ICT Procurement			1		1	↔
		IT - Service Desk	Significant Assurance	-	0							
		Hardware Asset Management 2021-22	Limited Assurance	↔	3	2		1		1		
		Physical & Environmental Controls 2022-23	Limited Assurance	↔	9	3		6		6		

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Finance & Resources	Information Technology	IT Change Management - Follow-up 2021-22	Significant Assurance	↔	0							
		IT Security 2020-21	Limited Assurance	↔	6	5		1		1	↔	
	Information Technology Total					19	10	0	9	0	9	
	Legal & Governance	Councillor Declarations 2021-22	Moderate Assurance	-	0							
		Data Management	Significant Assurance	↑	0							
	Legal & Governance Total					0	0	0	0	0	0	
	Commercial Procurement & Contract Management	IR35 Compliance	Moderate Assurance	↔	1	1			0			
		ICT Procurement 2021-22	Limited Assurance	↔	3				3		3	↔
		Contract Management follow up 2021-22	Limited Assurance	↔	5				5		5	↑
		Procurement Dispensations 2021-22	Limited Assurance	↔	3	2			0		1	↑
	Commercial Procurement & Contract Management Total					12	3	0	9	0	9	

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Finance & Resources	Finance	Bank Reconciliation 2021-22	Significant Assurance	↔	0						
		Budgetary Control 2021-22	Limited Assurance	↓	2		2	0			
		Capital Programme 2021-22	Limited Assurance	↓	9	3	6	0			
		NCC Accounts Payable 2021-22	Moderate Assurance	↓	0						
		NCC Accounts Receivable 2021-22	Moderate Assurance	↔	2		2	0			
		Main Accounting 2021-22	Significant Assurance	↔	0						
		Treasury Management 2021-22	Significant Assurance	↔	0						
		PCI Compliance - Follow-up	Limited Assurance	↓	4	1		3		3	↔
		Procurement Card Usage 2022-23	Limited Assurance	-	3		3	0			
		Civica - Income Management - application review	Significant Assurance	-	1			1		1	↔
		Integration & Better Care Fund - DFG 21-22	Grant claim	-							

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Finance & Resources	Finance	Cultural Recovery Fund	Grant claim	-								
		Contain Outbreak Management Fund Surge Funding 20-21	Grant claim	-								
		Derby & Nottingham Future Transport Zone 2021-22	Grant claim	-								
		Green Homes Grant LA Delivery Phase 1B	Grant claim	-								
		Green Homes Grant LA Delivery Phase 2	Grant claim	-								
		LA Bus Subsidy Grant 2021-22	Grant claim	-								
		Local Transport Capital Grant 2021-22	Grant claim	-								
		Supporting Families	Grant claim (quarterly)	-								
		Universal Drug Treatment Grant 2021-22	Grant claim	-								
		Finance Total					21	4	13	4	0	4
	Customer Services	Housing Benefits 2021-22	Limited Assurance	↓	6	1	3	2		2	↑	

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Finance & Resources	Customer Services	Council Tax 2020-21	Moderate Assurance	↓	0						
		Business Rates 2020-21	Limited Assurance	↔	2			2		2	↔
	Customer Services Total					8	1	3	4	0	4
Finance & Resources Total					65	18	16	31	2	29	
Policy Performance & Communications	Analysis & Insight	NCC Performance Management 2019-20	Moderate Assurance	↔	1	1		0			
		Caldicott Governance 2022/23	Limited Assurance	-	6	1	3	2		2	↑
	Communications & Marketing	Use of Social Media - Follow-up	Significant Assurance	-	0						
Policy Performance & Communications Total					7	2	3	2	0	2	
Growth & City Development	Housing	Housing Rents 2021-22	Limited Assurance	↓	7			7	2	5	↑
	Housing Total				7	0	0	7	2	5	
	Economic Development & Property	Broadmarsh Car Park & Bus Station Handover	Limited Assurance	-	3	3		0			
		OR05 Redevelopment of Broadmarsh Shopping Centre	Significant Assurance	-	1	1		0			
		Corporate Property Maintenance	Significant Assurance	↔	1			1	1	0	↑

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Growth & City Development	Economic Development & Property	Asset Rationalisation 2021-22	Significant Assurance	-	0							
		Covid - Job Retention Scheme (Furlough)	Significant Assurance	-	0							
	Economic Development & Property Total				5	4	0	1	1	0		
	Planning and Transport	Public Transport follow up	Limited Assurance	↔	0							
		Public Transport Smart Ticketing Procurement follow up	Limited Assurance	↔	3	3		0				
		Traffic & Safety Capital Projects 2020-21 Follow-up	Limited Assurance	↔	6			6		6	↔	
		Transforming Cities Fund Tranche 2 2021-22	Moderate Assurance	↓	4			4	4	0	↑	
	Planning and Transport Total				13	3	0	10	4	6		
	Growth & City Development Total					25	7	0	18	7	11	
	People	Adult Social Care & Health	Deputyship 2021-22	Moderate Assurance	↑	0						
ECINS - Follow-up 2021-22			Moderate Assurance	↑	0							
Adult Social Care & Health Total				0	0	0	0	0	0			

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People	Children's Integrated Services	Supporting Families 2021-22	Significant Assurance	↔	0						
		Fostering, Adoption and External Placements Follow Up	Moderate Assurance	↑	2			2	2	0	↑
	Children's Integrated Services Total				2	0	0	2	2	0	
	Education	Nottingham Schools Trust follow up 2020-21	Limited Assurance	↑	4	2	2	0			
	Education Total				4	2	2	0	0	0	
People Total					6	2	2	2	2	0	
Communities Environment & Resident Services	Environment & Sustainability	NCC Carbon Neutral Commitment	Limited Assurance	-	6	1		5	2	3	↑
	Environment & Sustainability Total				6	1	0	5	2	3	
	Communities	Selective Landlord Licensing Follow-up 2020-21	Moderate Assurance	↑	4	4		0			
	Communities Total				4	4	0	0	0	0	
	Resident Services	Fleet Management follow up	Significant Assurance	↑	5	5		0			
Resident Services	Governance & Use of Telematics	Significant Assurance	-	0							

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Communities Environment & Resident Services	Resident Services	Vehicle Utilisation 2021-22	Limited Assurance	-	2			2		2	↔
		Parks, Open Spaces Contracting	Moderate Assurance	-	0						
	Resident Services Total				7	5	0	2	0	2	
	Sports, Culture & Tourism	Theatre Royal & Concert Hall Follow-up 2021-22	Limited Assurance	↑	9	4		5		5	↔
	Sports, Culture & Tourism Total				9	4	0	5	0	5	
Communities Environment & Resident Services Total					26	14	0	12	2	10	
NCC Total					134	46	21	67	13	54	