

Annex D – Tracking of High Priority Recommendations Issued in 2020/21-2023/24 to 5 Sep 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 2022-23	No Assurance	↓	8			8		8		
		Overtime Pay Policy Compliance 2021-22	Moderate Assurance	↔	0							
		Sickness Management 2022-23	Limited Assurance	↔	3			3		1	↔	
	HR & EDI Total					13	0	0	13	2	11	
	Information Technology	Cloud based applications (Software as a Service)	Moderate Assurance	-	1*	1			0		0	↑
		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	4			5		5	↑

* Note: 3 high priority recommendations from Cloud based applications included in ICT Procurement

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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	12	0	7	0	7	
	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		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	3		0		0	↑	
	Commercial Procurement & Contract Management Total					12	4	0	8	0	8	

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Finance & Resources	Finance	Bank Reconciliation 2022-23	Moderate Assurance	↓	0						↓
		Budgetary Control 2021-22	Limited Assurance	↓	2			2		2	↔
		Capital Programme 2021-22	Limited Assurance	↓	9	3		6		6	↔
		NCC Accounts Payable 2022-23	Limited Assurance	↓	4		1	3		3	↓
		NCC Accounts Receivable 2022-23	Limited Assurance	↓	7			7		7	↓
		Main Accounting 2022-23	Moderate Assurance	↓	1			1		1	↓
		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		3	↓
		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 & 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	-							
		Biodiversity Net Gain 2022-23	Grant claim	-							
		Supporting Families 2022-23	Grant claim (quarterly)	-							

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		Universal Drug Treatment Grant 2021-22	Grant claim	-							
Finance & Resources	Finance Total				31	4	1	26	0	26	
	Customer Services	Housing Benefits 2022-23	Moderate Assurance	↑	6	3		3		3	↑
		Council Tax 2022-23	Moderate Assurance	↔	0						↔
		Business Rates 2022-23	Limited Assurance	↔	2			2		2	↔
	Customer Services Total					8	3	0	5	0	5
Finance & Resources Total					83	23	1	59	2	57	
Chief Executive	Analysis & Insight	NCC Performance Management 2019-20	Moderate Assurance	↔	1	1		0			
		Caldicott Governance 2022/23	Limited Assurance	-	6	1		5		5	↔
	Communications & Marketing	Use of Social Media - Follow-up	Significant Assurance	-	0						
Chief Executive Total					7	2	0	5	0	5	
Growth & City Development	Housing	Housing Rents 2021-22	Limited Assurance	↓	7	3		4		4	↑
	Housing Total				7	3	0	4	0	4	
	Economic Development & Property	Broadmarsh Car Park & Bus Station Handover	Limited Assurance	-	3	3		0			
		OR05 Redevelopment of Broadmarsh	Significant Assurance	-	1	1		0			

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		Shopping Centre										
Growth & City Development Growth & City Development	Economic Development & Property	Corporate Property Maintenance	Significant Assurance	↔	1			1	1	0	↔	
		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	4			2		2	↑
		Transforming Cities Fund Tranche 2 2021-22	Moderate Assurance	↓	4				4	4	0	↑
	Planning and Transport Total					13	7	0	6	4	2	
	Growth & City Development Total					25	14	0	15	5	6	

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People	Adult Social Care & Health	Deputyship 2021-22	Moderate Assurance	↑	0						
		Appointeeship 2022-23	No Assurance	↓	8		1	7	1	6	↑
People	Adult Social Care & Health	ECINS - Follow-up 2021-22	Moderate Assurance	↑	0						
	Adult Social Care & Health Total				8	0	1	7	1	6	
	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		2	↔
	Education Total				4	2	0	2	0	2	
People Total					14	2	1	11	3	8	
Communities Environment & Resident Services	Environment & Sustainability	NCC Carbon Neutral Commitment	Limited Assurance	-	6	1		5	2	3	↑
		OR06 Waste and Energy Infrastructure	Moderate Assurance	-	3						
	Environment & Sustainability Total				6	1	0	5	2	3	

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	Communities	Women's Aid Grant Payments	Moderate Assurance	↑	0			0				
		Selective Landlord Licensing Follow-up 2020-21	Moderate Assurance	↑	4	4		0				
	Communities Total				4	4	0	0	0	0		
Communities Environment & Resident Services	Resident Services	Fleet Management follow up	Significant Assurance	↑	5	5		0				
		Woodthorpe Plant Shop 2022/23	Moderate Assurance	-	4			4		4		
		Governance & Use of Telematics	Significant Assurance	-	0							
		Vehicle Utilisation 2021-22	Limited Assurance	-	2			2		2	↔	
		Parks, Open Spaces Contracting	Moderate Assurance	-	0							
		Resident Services Total					11	5	0	6	0	6
	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	

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Communities Environment & Resident Services Total					30	14	0	16	2	14	
NCC Total					152	53	2	97	12	85	