

Annex D – Tracking of High Priority Recommendations Issued in 2020/21-2023/24 to 15 Jan 2024

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		1		1	↔	
	Legal & Governance	Decision Making	Limited Assurance	-	3	2		1		1	↔	
	Finance / HR & EDI	Fusion ICT Review 2022-23	Limited Assurance	-	2		1	1	1		↔	
NCC Corporate Total					7	3	1	3	1	2		
Finance & Resources	HR & EDI	Disciplinary Process follow up 2021-22	Limited Assurance	↑	2	2					↑	
		NCC Payroll & HR 2022-23	No Assurance	↓	8	2		6		6	↑	
		Physical & Environmental Controls 2022-23	No Assurance	↓	5		1	4		4	↓	
		Overtime Pay Policy Compliance 2021-22	Moderate Assurance	↔	0							
		Sickness Management 2022-23	Limited Assurance	↔	3	2		1		1	↑	
	HR & EDI Total					18	6	1	11	2	9	
	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	↔		

* 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					10	8	0	2	0	2	
	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	1			4		4	↑
		Procurement Dispensations 2021-22	Limited Assurance	↔	3	3			0		0	↑
	Commercial Procurement & Contract Management Total					12	5	0	7	0	7	
	Finance	Bank Reconciliation 2022-23	Moderate Assurance	↓	0							↓

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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	-							
		HUG 1 MNZH	Grant claim	-							
		LA Bus Subsidy Grant 2022-23	Grant claim	-							
		Local Transport Capital Grant 2022-23	Grant claim	-							
		Biodiversity Net Gain 2022-23	Grant claim	-							
		Supporting Families 2022-23	Grant claim (quarterly)	-							

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	Finance	Universal Drug Treatment Grant 2021-22	Grant claim	-							
Finance & Resources	Finance Total				33	6	1	26	3	23	
	Customer Services	Housing Benefits 2022-23	Moderate Assurance	↑	6	4		2		2	↑
		Council Tax 2022-23	Moderate Assurance	↔	0						↔
		Business Rates 2022-23	Limited Assurance	↔	2			2		2	↔
	Customer Services Total					8	4	0	4	0	4
Finance & Resources Total					74	28	2	44	5	39	
Chief Executive	Analysis & Insight	NCC Performance Management 2019-20	Moderate Assurance	↔	1	1					
	Communications & Marketing	Use of Social Media - Follow-up	Significant Assurance	-	0						
Chief Executive Total					1	1	0	0	0	0	
Growth & City Development	Housing	Housing Rents 2021-22	Limited Assurance	↓	7	5		2		2	↑
	Housing Total				7	5	0	2	0	2	
	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			

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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						
		Traffic & Safety Capital Projects 2020-21 Follow-up	Limited Assurance	↔	6	6			0			↑
		Transforming Cities Fund Tranche 2 2021-22	Moderate Assurance	↓	4	4						↑
	Planning and Transport Total					13	11	0	2	0	2	
	Growth & City Development Total					25	20	0	5	1	4	
People	Adult Social Care & Health	Deputyship 2021-22	Moderate Assurance	↑	0							
		Appointeeship 2022-23	No Assurance	↓	8	3	0	5	0	5	↑	

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People	Adult Social Care & Health	ECINS - Follow-up 2021-22	Moderate Assurance	↑	0						
	Adult Social Care & Health Total				8	3	0	5	0	5	
	Children's Integrated Services	Supporting Families 2021-22	Significant Assurance	↔	0						
		Fostering, Adoption and External Placements Follow Up	Moderate Assurance	↑	2	2					
	Children's Integrated Services Total				2	2	0	0	0	0	
	Education	Nottingham Schools Trust follow up 2020-21	Limited Assurance	↑	4	2		2		2	↔
	Education Total				4	2	0	2	0	2	
	Public Health	Caldicott Governance Follow-up 2023	Limited Assurance	↑	5			5		5	↑
	Public Health Total				5	0	0	5	0	5	
People Total					19	7	0	12	0	12	
Communities Environment & Resident Services	Environment & Sustainability	NCC Carbon Neutral Commitment	Limited Assurance	-	6	4		2		2	↑
		OR06 Waste and Energy Infrastructure	Moderate Assurance	-	3			3		3	↔
	Environment & Sustainability Total				9	4	0	5	0	5	

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Communities Environment & Resident Services	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	
	Resident Services	Fleet Management follow up	Significant Assurance	↑	5	5		0				
		Woodthorpe Plant Shop 2022/23	Moderate Assurance	-	4	2		2		2		↑
		Governance & Use of Telematics	Significant Assurance	-	0							
		Vehicle Utilisation 2021-22	Limited Assurance	-	2	2						↑
		Parks, Open Spaces Contracting	Moderate Assurance	-	0							
	Resident Services Total					11	9	0	2	0	2	
	Sports, Culture & Tourism	Theatre Royal & Concert Hall Follow-up 2021-22	Limited Assurance	↑	9	9						↑
	Sports, Culture & Tourism Total					9	9	0	0	0	0	
Communities Environment & Resident Services Total					33	26	0	7	0	7		

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NCC Total					158	84	3	71	7	64	