

Appendix 3

Remedial action taken following Audit Committee recommendations for improvement

Crime and Drugs Partnership (CDP)

Recommendation	Response	Implementation due
<p>Role of the CDP Executive - clarification of its role and its interrelationship with the CDP Board</p>	<p>The roles of the CDP Board and Executive are as follows:</p> <p>Board: Strategic (Gold)</p> <ul style="list-style-type: none"> • Comprises senior strategic decision makers • Formulates the overall policy • Directs the overall response: <ol style="list-style-type: none"> 1. executive decisions 2. authorising expenditure (<i>outside of current operational guidelines</i>) 3. political and legal issues 4. media strategy 5. anticipation 6. long-term resourcing <p>Executive Group: Tactical (Silver)</p> <ul style="list-style-type: none"> • Plans and co-ordinates response • Determines priorities in obtaining and allocating resources • Manages the implementation of the policy established at the strategic level • Provides the reporting point for operational activities <ul style="list-style-type: none"> • The purpose of the tactical level is to ensure that the actions taken by the operational level are coordinated, coherent and integrated in order to achieve maximum effectiveness and efficiency. • The terms of reference of the CDP Board and Executive Group are being updated to make the function of each clearer. 	<p>Complete</p>
<p>Creation of champion role for different priorities – if this proceeds the remit and an agreement need to be considered</p>	<ul style="list-style-type: none"> • The December 2018 Board agreed that they want to have champions for different priorities. • The Executive will discuss the role of champions at its February meeting and a further report will be brought to the March 2019 Board. 	<p>March 2019</p>

Whistleblowing procedure – if adopting NCC’s this needs to be formally noted and adopted by the Board	<ul style="list-style-type: none"> • This has been added to the terms of reference and will be formally adopted along with the other changes to the terms of reference. • The updated terms of reference will be taken to the March CDP Board. 	March 2019
Exit strategy – expectations on Board members needs to be formalised and adopted, with requirement to identify a replacement	<ul style="list-style-type: none"> • The responsible authorities have to provide a representative by law, so are required to identify a replacement, though in reality, when someone leaves they may not know who will replace them. • The terms of reference are being updated to make this clearer. 	Complete
“Tactical work” of the Executive – there needs to be clarification of what this means for transparency	<ul style="list-style-type: none"> • The terms of reference are being updated to make this clearer, as set out in the point on the “Role of the Executive” above, though members of the Board and the Executive understand the meaning of tactical in practice. 	Complete
GDPR data controller – confirmation from NCC’s GDPR experts that the CDP’s data does not meet the threshold for requiring further action	<ul style="list-style-type: none"> • Met with Data Protection Officer (DPO) on 7/2/2019. • The personal data held by the CDP is minimal and after considering the matter carefully, DPO advised that a privacy notice would be sufficient to cover the information that the CDP held. • A notice was drafted and has now been published on the internet - DPO is satisfied that the CDP is now GDPR compliant and that a separate sharing agreement is not required at this stage. 	Complete
Risk log – discussion at each Board meeting, even if just to affirm there is nothing to discuss, and an annual review	<ul style="list-style-type: none"> • The CDP risk log has been added to the agenda of the Board as a standing item. It is on the draft agenda for the next Board meeting, in March 2019. 	Complete

Midlands Engine (ME)

Recommendation	Response	Implementation due
Unavailable documents – NCC colleagues should have immediate access to governance documents as we are an accountable body for the partnership	<ul style="list-style-type: none"> • All Midlands Engine documents are available on NCC’s drive and distributed to the Accountable Body (NCC). • All agenda packs are distributed to the Accountable Body and are saved on the NCC shared drive. • Midlands Engine Executive Board minutes have been added to the website and this will continue going forward. Board minutes have been 	Complete

	added to the website and this will continue going forward.	
Governance review – recommend “working towards” being more effective continues to achieve a score of 1 in future	<ul style="list-style-type: none"> Development is ongoing. 	Ongoing
Documents to be added to Midlands Engine’s website – this includes details and documents that support its Governance and Assurance Framework and meeting agendas, papers and minutes	<ul style="list-style-type: none"> The Assurance Framework was added to the ME website along with the draft minutes to the Executive Board in November 2018. 	Complete
Membership of the Board – details of Midland’s Engine’s Board members, to include a short résumé, to be added to the website or made easier to find	<ul style="list-style-type: none"> Membership is on the ME website alongside Declarations of Interest under the ‘Executive Board’ link on the ‘meetings’ page. 	Complete
Interactive ‘partners’ section of website – to include links to the websites of the universities and other organisations within the partnership	<ul style="list-style-type: none"> The list of ‘partners’ is currently available under the ‘membership of Midlands Engine’ link on the ‘meetings’ tab, although there is no link to their websites. 	Under consideration
Risk register – would like to see evidence that these are discussed and reviewed at Board meetings	<ul style="list-style-type: none"> All agenda packs are distributed to the Accountable Body and are saved on the NCC shared drive. The Midlands Engine Programme Highlight report has a risk register. 	Complete

Green Nottingham Partnership

Recommendation	Response	Implementation due
Documents not in place or not yet implemented – governance documents to be developed and implemented at the earliest opportunity	This action has been ongoing due to changes in staff. Changes will be made (for items where partnership assistance is not required) during February and proposals put forward for partnership documents and process to be approved at the next meeting of the Partnership Board.	To be presented and discussed at the Partnership meeting on 15 th March