

Place and Sustainability Assurance Statement Review and Action plan 25/26  
Ver 3.0 30/1/26

<b>Assurance Theme</b>	<b>Current Position Jan 2026</b>	<b>Current Level of Assurance</b>	<b>Actions required for Improvement</b>	<b>Action Owner (s)</b>	<b>Deadline</b>
Risk Management	<p>A directorate risk register has been developed, and this is reviewed on a monthly basis at the directorate finance, performance and risk meeting.</p> <p>A summary of the directorate risks is presented to the relevant policy and service committees.</p> <p>Borderline risks are highlighted and reviewed at the quarterly CLT risk and assurance meeting to consider inclusion in the Corporate Risk Register</p> <p>All directorate wide risks are recorded in the Council's GRACE system</p> <p>Work is ongoing to ensure that all change programmes and capital projects each have risk registers in place which are reviewed monthly.</p>	Medium	<p>Directorate Risk Register reviewed by each Divisional Management Team.</p> <p>Divisional Risk Registers to be developed, reviewed and updated</p> <p>Directorate risk register to be updated with up-to-date control, actions and action owners</p> <p>All projects and programme to have own risk registers with oversight from the PMO team</p>	<p>Service Directors</p> <p>Service Directors</p> <p>Service Directors</p> <p>Heads of Service</p>	Ongoing

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Emergency and Business Continuity Planning	<p>Each critical function has a business continuity plan in place.</p> <p>Testing of emergency response to flooding has taken place</p> <p>Gold level commanders within the directorate have had recent training on emergency response and commander roles (within the last 12 months)</p> <p>Silver commanders nominated</p> <p>Key managers across the service areas attend both the quarterly Corporate Business Continuity working group and the IT resilience working group to ensure Business Continuity plans are robust.</p>	Good	<p>Quality Assurance of Business Continuity Plans</p> <p>Testing of plans against different scenarios e.g. long-term IT outage, cyber-attack, flooding, adverse weather</p>	Head of Assurance and Strategic Performance	Complete

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Internal Audit Actions reviewed and implemented	<p>Internal Audit Action Owners clarified and now at Service Director or Head of Service Level</p> <p>Internal Audit Actions reviewed on a monthly basis through directorate management team</p> <p>The Head of Assurance and Strategic Performance has established monthly meetings with all action owners</p> <p>Liaison meetings between Internal Audit and directorate now established to review agree progress of actions</p> <p>All Internal Audit reports are presented to DMT for review and to apply lessons learnt</p> <p>Performance measure for internal audit actions included within the balanced scorecard for the directorate</p>	Medium	Further review of outstanding audit actions to ensure they are implemented. There are currently 6 outstanding actions to complete	Executive Director	31/03/26

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Management of Change	<p>Major Directorate Led change has governance in place in line with the Council’s performance management framework</p> <p>Major change programmes have nominated SRO and lead officers, Board Meetings, project plans, risk registers and action planning</p> <p>Highlight and exemption reports are provided to the Council Change Board where required</p> <p>Change programme updates provided to CVC, Spokes and Committees</p>	Good	Ongoing review of all change programmes	Executive Director	Monthly review

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Appropriate Control Environment	<p>DMT finance, performance and risk meeting that reviews the overall control environment</p> <p>Matters are referred to Stat Officers were required</p> <p>Scheme of delegation in place which is regularly reviewed</p> <p>Additional assurance in place for areas of high risk</p>	Medium	FTP process has highlighted the need for improved focus and assurance in the IPD and TC divisions in relation to procurement and contract compliance	SD IPD SD T&C	30/6/26
Conflicts or interests	<p>These are recorded at each DMT meetings</p> <p>Executive Directors and Service Directors have completed appropriate declarations</p>	Good	Ongoing Review	Executive Director	Ongoing

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Decision Making	<p>Forward planning in place, which is reviewed on a weekly basis. Planning enables effective decisions to be designed and implemented</p> <p>Forward planning is reviewed with CVC and Spokes</p> <p>All delegated decisions to Executive Director from Committees and by Executive Director using delegated powers are recorded and filed.</p> <p>Reports are reviewed through CLT and Corporate Clearance Group as appropriate</p>	Medium	<p>Test that all officer decisions made by Service Directors and Heads of Service are recorded and filed</p> <p>Record and action plan for all committee decisions to be implemented</p>	<p>Head of Assurance and Strategic Performance</p> <p>Head of Assurance and Strategic Performance</p>	<p>31/3/26</p> <p>31/3/26</p>

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Performance Management	<p>Balanced Scorecard established and reviewed on a monthly basis through the finance and performance meeting.</p> <p>Strategic indicators are reported to relevant policy and service committees on a quarterly basis</p>	Good	Ongoing review	Executive Director	Ongoing
Financial Management	<p>Business Planning is reviewed on a weekly basis through DMT</p> <p>Project planning approach is in place for business planning</p> <p>Revenue and capital monitoring takes place on a monthly basis</p>	Good	Ongoing review	Executive Director	Ongoing

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	<p>Savings tracking in place on a monthly basis</p> <p>Financial risks and mitigations reviewed on a monthly basis</p> <p>Financial transparency reviews take place on a monthly basis</p> <p>Essential training on budget management completed by Budget Managers</p>				
Whistleblowing Awareness	Essential learning completed by senior management	Medium	<p>Ensure essential learning completed by all colleagues</p> <p>Continue to promote whistleblowing policy and procedure in communications to colleagues</p>	Executive Director	30/06/25

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Procurement and Contract Management	<p>Directorate procurement and contract management champion appointment</p> <p>Review of use of waivers</p> <p>Procurement contract register in place</p> <p>Effective forward planning in place for procurement decisions</p> <p>Contracts are reviewed monthly at the Finance and Performance meeting with the Head of Commercial and Contract Management</p> <p>FTP contract overspends investigated and assurance provided on at the Finance and Performance meeting</p>	Medium	<p>Further reviews are required to ensure procurement and contract register is in place</p> <p>Review of waivers and to apply lessons learnt</p> <p>Review of areas where there is off-contract.</p> <p>Non-compliance incidences fully investigated</p>	Executive Director / Head of Commercial and Contract Management	30/3/26
Use of Urgency Decisions	There have no urgent decisions in 25/26	Medium	Effective forward planning to avoid the need of urgency decisions	Executive Director  Service Directors	Ongoing

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Complaints and LGO recommendations	Further improvement required to ensure robust systems are in place to log, track and ensure complaints are responded to within the required timeframes	Medium	<p>Actions required to improve overall management of complaints management</p> <p>All Service Directors and Heads of Service to ensure there is control of complaints in each service area</p>	Service Directors/ Head of Assurance and Strategic Performance	30/06/26
Health and Safety Assurance	<p>Busway assurance policy and team is in place</p> <p>Weekly meeting to review health and safety assurance established</p> <p>Review of health and safety policies, procedures commenced</p>	Medium	Further testing and review of all areas of operation	Executive Director	Ongoing
Governance of Council controlled companies e.g. Light Blue Fibre	Recent audit undertaken with actions implemented	Good		Shareholder Representative	Ongoing
Recruitment	Recruiting Managers undertake essential learning	Medium	Further review of adherence with	Executive Director and	Ongoing

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	<p>Clear processes in place to ensure effective recruitment processes are followed</p> <p>Pre- employment checks completed</p>		recruitment policy and procedures	Service Directors	
Statutory duty requirements are met	Whilst no challenges or breaches have been reported and there is a good understanding of the statutory duties required to be delivered further testing will be conducted	Medium	Collate all statutory duties delivered by the directorate together with evidence to demonstrate they are met	Executive Director	30/6/26
Wellbeing and resilience	<p>Health, Safety and Wellbeing are on the agendas for every directorate management team meeting and Head of Service meetings across the directorate</p> <p>Wellbeing SharePoint site created with tools to support employees becoming easily accessible</p> <p>Wellbeing messages sent on the Directorate Fortnightly Focus newsletter</p>	Medium	<p>Team reviews to be completed at Head of Service level to ensure that there is capacity and resilience within teams to meet demand</p> <p>Deep dive into HR data on sickness absence levels</p>	<p>Service Directors</p> <p>Head of Assurance and Strategic Performance</p>	Ongoing

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	<p>Resourcing gaps are discussed and addressed through the weekly directorate management team meeting</p> <p>Business Support review completed to add structure, capacity, resilience and continuity planning to the workforce and positively impact workloads</p> <p>Polls are discussed every month as part of the Q&amp;A sessions and data collected on workloads and frequency of line management 1:1s</p>				
Information Governance	<p>Essential Learning completed</p> <p>Data and filing systems appropriately designed and managed</p> <p>Breaches proactively reported</p>	Good	Ongoing review	Executive Director	Ongoing