

Appendix 1: Overdue Audit Actions and the Service Progress Update @ 04/01/24

Ref	Area	Agreed Action	Agreed Implementation Date	Service Area	Priority Level	Last Update	Progress Update (provided by Action Owner)	Months late
1610	Small Works Contract 21.22 Action 1	A dedicated small works contract or framework agreement will be tendered and formalised for use across the authority.	30/04/2022	Corporate Resources	Amber	04/01/2024	Facilities Management are heading up the project and it has been agreed to appoint a specialist consultant to oversee the specification and parts of the procurement process. Internal discussions have taken place to determine the specifics that will need to go into the tender specification.	20
1611	Small Works Contract 21.22 Action 2	Staff responsible for procurement will be made aware of the contract, its use mandated, and details of pricing / rates and staff responsibility will be communicated.	31/05/2022	Corporate Resources	Amber	04/01/2024	FM team are currently collating all of the information required to be written into the specification. Authorisation has been granted to use a SME in this field.	19
1612	Small Works Contract 21.22 Action 3	Formal contract management monitoring arrangements will be established, including review of spend, spot checking procurements and routine liaison meetings with service users and the supplier.	30/11/2022	Corporate Resources	Amber	04/01/2024	No further updates from November. Information will be provided as the project moves forward. November update: This action will be implemented once the revised procurement exercise is completed.	13

1613	Small Works Contract 21.22 Action 4	Spend outside of the contract will continue to be monitored.	30/11/2022	Corporate Resources	Amber	04/01/2024	No further updates to KS November note. November: Spend outside of contract will continue to go through usual Procurement controls. There is no single cost code to collect this expenditure so collating it will not be possible, but additional attention is being paid to expenditure through the supplier that previously held this contract.	13
1658	Shadow IT / Service-Procured Systems 21.22 Action 1	<p>The Council's Procurement Lead should review and, where necessary, update the Council's Code of Procurement so that it establishes a requirement for the procurement of any service to include the involvement of all relevant stakeholders, including the procurement of any IT system requiring the involvement of the ICT Service.</p> <p>This should be approved, in consultation with various key stakeholders across the Council, communicated to members of staff and reviewed on a routine basis or following any significant changes to the Council's operations.</p>	31/03/2023	3C ICT	Amber	04/01/2024	Draft changes have been made to the Code of Procurement and waiting for authorisation.	9

1661	ICT Procurement and Contract Management 21.22 Action 1	Note: 2 responsible owners; This action is assigned to Alex Young and Sarah Youthed.	31/03/2023	3C ICT	Amber	04/01/2024	Procurement are continuing to work with ICT (Andrew Howes & team) to align the ICT matrix with the contracts register. Monthly meetings are held between all 3 council procurement leads & ICT to monitor the progress. This is an ongoing piece of work.	9
		<p>The ICT Service and the Council's Procurement Lead should review and, where necessary, update the Council's contract register so that it is aligned to the Council's Application Support Matrix and includes, but is not limited to:</p> <ul style="list-style-type: none"> • Supplier identification and contact details • The products and services they deliver • Contract start and end dates and contract duration • Whether they process personal data or provide IT services on which critical services rely and an assessment of the data protection risk associated with the supplier. <p>The register should be updated on a regular basis to ensure that it accurately reflects the Council's ICT supplier landscape.</p>						

1675	Social Value in Procurement 22.23 Action 5	A series of Lunch and Learn sessions, covering key aspects of social value, contracting and procurement will be developed and delivered. Training will be supported by signposting to key documents / sources of information.	30/04/2023	Corporate Resources	Amber	04/01/2024	<p>Katy Smith has contacted Anglia Ruskin for their proposal to work with HDC Procurement on Social Value / Sustainable Procurement. Email evidence attached. Lunch and Learn sessions will take place following procurements training. This has been delayed through no fault of HDC.</p> <p>Procurement have adapted SV questions in tendering documents to bespoke more to the specific contract. How this is monitored throughout the life of a contract is still to be determined, but this will form part of further contract management training.</p>	8
1649	Corporate Enforcement Policy 21.22 Action 1	Community Support, Public Safety, Food Hygiene, Licensing and Planning Enforcement teams to produce procedure notes. Procedure notes should include, but not be limited to, opening notes and checks, when to close a case and what enquires can be made using legislations. Procedure notes should be produced and saved where all officers have access to them.	31/05/2023	Chief Operating Officer	Amber	01/01/2024	Further updates have been made to the procedure notes and these will now be added.	7
1682	Fuel Usage and Payments 22.23 Action 6	The Velocity fuel card contract will be reviewed in terms of value and compliance with the code of procurement.	30/06/2023	Operations	Amber	02/01/2024	Tender in progress, will complete in Mid Jan, with anticipated implementation in Feb-24.	6

1690	Debtors Continuous Auditing 22.23 Action 1	Review and update the Debt Management Policy. Obtain appropriate approval of the revised policy.	30/06/2023	Corporate Resources	Amber	06/11/2023	<i>Progress confirmed as unchanged since Nov update:</i> This piece of work has been started, investigation into other council's debt policies and how ours should reflect current practices of our partner councils.	6
1672	Social Value in Procurement 22.23 Action 2	The Council's Social Value Policy and Framework document will be reviewed and updated to ensure it reflects existing corporate aims and values, and also is aligned with the decisions made as a result of the Business Case document. The policy will clarify coverage of Social Value in procurement, including minimum points available for in tender assessment, and contracting documentation. Any related documentation and templates will be updated as a result of the revised policy.	30/09/2023	Corporate Resources	Amber	16/11/2023	<i>Progress confirmed as unchanged since Nov update:</i> The SVP policy is yet to be updated as insight is being sought from external bodies, such as Anglia Ruskin University, to develop a policy that considers wider options and meets the needs of the organisation.	3
1673	Social Value in Procurement 22.23 Action 3	An action plan will be devised to support the introduction of contract management processes which are proportionate to the nature and value of procurement exercises undertaken, and which address social value obligations where relevant.	30/09/2023	Corporate Resources	Amber	16/11/2023	<i>Progress confirmed as unchanged since Nov update:</i> This will be produced once the revised SVP Policy is approved.	3

1674	Social Value in Procurement 22.23 Action 4	Social Value guidance, information and signposting will be shared with local businesses through existing engagement channels, forums and networks accessed by the Economic Development (ED) team. (ED to circulate on provision from Procurement Lead)	30/09/2023	Corporate Director - Place	Amber	29/09/2023	This action is dependent upon the social value guidance/training being prepared by Procurement which will then be shared with the external business community.	3
1678	Fuel Usage and Payments 22.23 Action 2	Once the decision on fuel has been made, the fuel contract will be re-let and listed in the contracts register to allow for corporate oversight by the Procurement Lead.	30/09/2023	Operations	Amber	02/01/2024	Now in the middle of the HVO trial, expected to complete in Apr-24 with a decision to be taken on the back of that as to which fuel to use.	3
1680	Fuel Usage and Payments 22.23 Action 4	The need for the spare 50,000 litre tank will be reviewed in terms of cost and value, and the decision to continue or otherwise made at SLT. It will be made clear to SLT that only limited controls can be applied to this part of the fuel supply.	30/09/2023	Operations	Amber	02/01/2024	This is tied into the HVO Trial, we are currently using this tank for delivery of HVO. Project expected to complete in Apr-24 with a view on whether we use HVO or Fossil diesel to be taken by SLT / Cabinet. The outcome of this will determine the need for a second tank.	3
1713	Risk Management 22.23 Action 3	Regular reminders are issued to management re their risk management responsibilities via: <ul style="list-style-type: none"> • Quarterly compliance task list • Monthly management meetings 	30/09/2023	Corporate Resources	Amber	16/11/2023	<i>Progress confirmed as unchanged since Nov update:</i> The revised RMS was approved by cabinet on 14.11.2023. The action to communicate and implement this across the organisation can now commence and will be reflected in the next compliance task list.	3

1669	Section 106 Agreements 21.22 Action 1	<p>To commence a review of S106 priorities, processes, roles, responsibilities, governance, reporting and resourcing to ensure HDC are maximising the use of S106. The outcomes of the review and subsequent actions will be agreed by CLT. Recognising the intrinsic link with decision making this will need to be part of the programme of wider improvements to the delivery of the development management service.</p> <p>Implementation will be overseen by the Chief Planning Officer who will be supported in delivery by the Implementation Team Leader and other officers as appropriate.</p>	31/10/2023	Corporate Director - Place	Amber	02/01/2024	<p>Work on S106 has commenced but delayed due to departure of programme manager for the wider programme of planning improvements. The S106 process needs to be carried out as part of that work to ensure consistency within new internal processes and procedures that emerge from that work. In addition, new NPPF expected from government but was delayed until 19th December 2023. Changes within that need to be factored into direction of travel of this work.</p>	2
1625	Overtime 21.22 Action 1	<p>The published policy for Expenses and Allowances (including Overtime) will be reviewed and updated to ensure that it is fit for purpose, and accessible to staff and managers. This will support working arrangements prior to a longer term, fundamental review of our policy.</p>	31/10/2023	Corporate Resources	Amber	<p><i>Under discussion with action owner (progress and imp date)</i></p>		