

## Outstanding Audit Actions as at 12th March 2024

Action reference	Audit report	Priority Level	Agreed Action	Implementation Target	Action Owner's Update	Date of Update	No of months late
1610	Small Works Contract 21.22 /1	A	A dedicated small works contract or framework agreement will be tendered and formalised for use across the authority.	30/04/2022	Tender is ongoing – action is to be reassigned to Matt Raby who is leading on the project. Civils Works Medium Term contract is out to tender, closing 15th March with contractor appointment expected 1st April 2024 following tender evaluation.	11/03/2023	22
1611	Small Works Contract 21.22 /2	A	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	Tender is ongoing – action is to be reassigned to Matt Raby who is leading on the project. Civils Works Medium Term contract is out to tender, closing 15th March with contractor appointment expected 1st April 2024 following tender evaluation.	11/03/2023	21
1612	Small Works Contract 21.22 /3	A	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	Tender is ongoing – action is to be reassigned to Matt Raby who is leading on the project. Civils Works Medium Term contract is out to tender, closing 15th March with contractor appointment expected 1st April 2024 following tender evaluation. Contract monitoring will be put in place once the contractor has been appointed.	11/03/2023	15
1613	Small Works Contract 21.22 /4	A	Spend outside of the contract will continue to be monitored.	30/11/2022	Responsibility for this action is under review – action will be formalized once the contract has been let. Spend controls are as previously described. We expect the new contract to be awarded in April 2024.	11/03/2023	15
1652	Corporate Enforcement Policy 21.22 /4	A	Review and re-write the policy, where necessary, in collaboration with all users and so that the policy is relevant, correct and reflects the enforcement appetite. Policy needs to contain the new HDC objectives and ensure that it covers everything that the officers and portfolio holders need it to cover. The policy is due for review by February 2023	30/12/2023	An action has been included within the Community service plan to re-write and have approved a new Corporate Enforcement Policy.	12/03/2024	2

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1658	Shadow IT / Service-Procured Systems 21.22 /1	A	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. 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.	31/03/2023	To chase this - CoP has had changes made to include new thresholds and terminology. Waiting for approval.	11/03/2024	11
1661	ICT Procurement and Contract Management 21.22 / 1	A	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: <ul style="list-style-type: none"> <li>• Supplier identification and contact details</li> <li>• The products and services they deliver</li> <li>• Contract start and end dates and contract duration</li> <li>• 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.</li> </ul> The register should be updated on a regular basis to ensure that it accurately reflects the Council's ICT supplier landscape.	31/03/2023	The previous update is still relevant. 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.	11/03/2024	11

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1669	Section 106 Agreements 21.22 Action 1	A	<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	<p>The previous update (below) is still relevant and work is ongoing. The first part has been completed (by the original deadline date), the remaining elements are still in hand, although the vacant Programme Manager post has impacted progress on this. The team continues to deliver improvements where possible and within the existing resource capabilities.</p> <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>	11/03/2024	4
1672	Social Value in Procurement 22.23 Action 2	A	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	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.	16/11/2023	5
1673	Social Value in Procurement 22.23 Action 3	A	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	This will be produced once the revised SVP Policy is approved.	16/11/2023	5

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1674	Social Value in Procurement 22.23 Action 4	A	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	News feature in the Economic Development newsletter dated 21.9.23 included the above event. This will remain in the ED newsletter until the date of the event. See attached pdf extract of the newsletter.	16/11/2023	5
1675	Social Value in Procurement 22.23 Action 5	A	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	Procurement Lead currently working with Anglia Ruskin Uni with a bespoke training course on sustainability in Procurement - 4 days. First date completed (8 March 24), 2nd date to commence 15 March 24. Once full training has been given then Procurement will plan SV training to be included in general Procurement & Contract Management training.	11/03/2024	10
1678	Fuel Usage and Payments 22.23 Action 2	A	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	HVO Trial is progressing well. Still expecting it to complete mid April, with a report to cabinet to follow in June.	11/03/2024	5
1680	Fuel Usage and Payments 22.23 Action 4	A	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	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 roughly Jun-24. The outcome of this will determine the need for a second tank.	11/03/2024	5
1682	Fuel Usage and Payments 22.23 Action 6	A	The Velocity fuel card contract will be reviewed in terms of value and compliance with the code of procurement.	30/06/2023	Tender has been awarded, and new cards are being rolled out over the next month. Awaiting copy of the contract to upload.	11/03/2024	8
1690	Debtors Continuous Auditing 22.23 / 1	A	Review and update the Debt Management Policy. Obtain appropriate approval of the revised policy.	30/06/2023	The Director of Finance & Corporate Resources has agreed to draft this policy and to present it for approval.	05/03/2024	8
1713	Risk Management 22.23 / 3	A	Regular reminders are issued to management re their risk.	30/09/2023	All managers required to review and update their risk registers as part of the 2024/25 Service Planning exercise. New Risk & Control Manager has reached out to service managers offering help and support with this.	05/03/2024	4