

Outstanding Audit Actions as at 22nd May 2024

Action reference	Audit report	Priority Level	Agreed Action	Implementation Target	Action Owner's Update	Date of Update	No of months late
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	Medium term civils contract has been tendered and communicated to others. Contract monitoring will commence once a full month of expenditure is available.	21/05/2024	17
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	The resources and capacity has not been available during 2023 to rewrite the Policy. The intention is that the policy will be approved ahead of the new financial year 24/25.	01/01/2024	5
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	Draft changes have been made to the CoP and waiting for authorisation.	04/01/2024	14

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1668	Data Protection/Information Mgt REPLACEMENT ACTION	A	Review the data holdings, indexing, and deletion routines within Anite/Information@Work system. Implement these arrangements, and submit a budget bid or plan outlining the steps to enable us to delete unnecessary historic records.	30/04/2024	<p>1. Steps taken are:</p> <ul style="list-style-type: none"> a. Successful bid made to Ideas Process b. Secured dedicated resource to conduct investigations to confirm whether this remains a risk c. Extensive fieldwork done with services, application support, Information Governance (IG) and the supplier of the software. We have also conducted external benchmarking to see if this risk exists with other Councils and confirmed it does. d. Confirmed that we need to improve our use of the retention modules. We have looked at a number of options (tolerate/manual deletion/automation via AI/use of existing deletion modules) e. Further allocation of time and budget to get the supplier in to conduct an assessment of the ability of the software to schedule deletions f. Supplier resources are being identified, they have escalated within their company - and we expect them on site in June g. From that we intend to be in a position to report back to the IG Board and SLT. It may be that an MTFS bid is needed, this will be confirmed once we are clearer on the ability of the software to meet our requirements. 	22/05/2024	1

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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	Previous update still valid. Action part 1 completed by 31 October deadline. But progress now halted due to vacant programme manager post. Tasks are being completed where possible within existing resource apabilities.	12/03/2024	7
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	Additional resource approved to develop the Social Value Procurement policy. Recruitment to commence May 2024	21/05/2024	8
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	Additional resource approved to implement this action. Recruitment will commence May 2024.	21/05/2024	8
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	8

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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 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.	04/01/2024	13
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 still going, the fuel is almost out now, once that has finished we will revert to Fossil Diesel and then prepare the report for cabinet. Should be out in a couple of weeks.	21/05/2024	8
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 Early June-24 with a view on whether we use HVO or Fossil diesel to be taken by SLT / Cabinet roughly Jul-24. The outcome of this will determine the need for a second tank.	21/05/2024	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	11
1709	Risk Management 22.23 / 1b	R	Training to be rolled out to staff	31/03/2024	Approval for Interim Risk Manager to be recruited to develop and implement training programme for staff. Recruitment to commence May 2024.	21/05/2024	2
1710	Risk Management 22.23 / 1c	R	Completion of training required by strategy subject to oversight/monitoring	30/04/2024	Completion of this action is linked to the completion of action 1609 and therefore cannot commence at this stage.	21/05/2024	1
1712	Risk Management 22.23 / 2b	R	Strategy should identify who is responsible for the reporting and formalise what reporting will take place.	31/03/2024	Interim Risk Manager resource approved to lead of the implementation of this action. Recruitment to commence in May 2024.	21/05/2024	2