

Reference	Summary	Issue	Recommendation	Assignee	Variable Target	Fixed Target	Status	Timing	Service Area	Priority Level	Last Update	Creator	Description	Text2	Internal Audit Update
1612	Small Works Contract 21.22 / 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.	Notes of meetings, spend reports for example.	Matthew Raby	30/11/22	30/11/22	In Progress	Late	Corporate Resources	Amber	15/07/24	Claire Stanley	Update from Follow Up ADD UPDATE TO ACTION	and Framework has been provided by Constella. Regular spending reports will be submitted to Constella and this will be used to monitor spending and progress. Spot checks will be completed on a monthly basis. This action will remain open until evidence of the spot checking	The arrangements for formal contract monitoring are being finalized for another audit (Code of Procurement Review). Its implementation date shall be agreed in due course but tentatively will be around March/April 2025.
1625	Overtime 21.22 Action 1	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.	Copy of revised policy	Nicki Bane	31/10/23	31/03/25	Not Started	Late	Corporate Resources	Amber	02/10/23	Nicki Bane	Policy will not be updated until March 2025 as per time scales	Due to other associated work the Pay policy will not be updated until other actions have taken place, this will be at least 18 months away	Policy will be updated by March 2025 as per previous update hence not overdue.
1652	Corporate Enforcement Policy 21.22 / 4	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	Upload a copy of the updated policy.	Claudia Deeth	30/12/23	30/12/23	In Progress	Late	Chief Operating Officer	Amber	12/03/24	Claudia Deeth	The rewrite of the enforcement policy has been included as an action within the 2024/25 Community service plan with a target date of completion by July 2024.		Sent e-mail to Claudia on 15/11/2024. No update received from her as of 15/11/2024.
1658	Shadow IT / Service-Procured Systems 21.22 / 1	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.	1.1The Council's reviewed Code of Procurement and evidence of approval 2.1Evidence that this has been communicated to members of staff	Sarah Youthed	31/03/23	31/03/23	In Progress	Late	3C ICT	Amber	11/03/24	Sarah Youthed	Update March	To chase this - CoP has had changes made to include new thresholds and terminology. Awaiting for approval	The arrangements for updating the code of procurement (in line with the new Procurement Act 2023) are being finalized for another audit (Code of Procurement Review). Its implementation date shall be agreed in due course but tentatively will be around March/April 2025.
1668	Data Protection/Information Mgt REPLACEMENT ACTION	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.		John Taylor	30/04/24	30/04/24	In Progress	Late	Chief Operating Officer	Amber	31/05/24	John Taylor - Chief Operating Officer	May-24 Update	2.1Steps taken are: a.1Successful bid made to Ideas Process b.1Secured dedicated resource to conduct investigations to confirm whether this remains a risk c.1Extensive fieldwork done with services, application support, 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.	Action on track and from prior update in September 2024. Sent e-mail to John on 15/11/2024. Awaiting for response.
1669	Section 106 Agreements	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. 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.	Copy of review documentation and programme Copy of CLT minutes	Claire Burton	31/10/23	31/10/23	In Progress	Late	Corporate Director - Place	Amber	03/09/24	Claire Burton	September 24 progress update	Previous update still valid. Action part 1 completed by 31 October 2023 deadline. But progress now halted due to vacant programme manager post. Tasks are being completed where possible within existing resource capabilities. Currently exploring external support to undertake a healthcheck of the S106 process	As per update from Claire on 15/11/2024, a consultant has been appointed for a short period to undertake an initial assessment of S106 and processes for this council wide. She is due to start later in November 2024. Tentative closure date for this is now 28/02/2025.

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.	Copy of updated Social Value Policy and Framework Evidence of SLT and Member approval Copy of updated documents	Suzanne Jones	30/09/23	30/09/23	In Progress	Late	Corporate Resources	Amber	27/06/24	Karen Sutton	June 2024 update	Approval to recruit granted, role description drafted, recruitment to commence ASAP	Sent e-mail to Suzanne Jones (the new Director of Finance and Corporate Resources) on 15/11/2024 for an update as Karen (The previous Director of Finance and Corporate Resources) did not provide an update when she left in July 2024. Other staff in finance are not aware of this action.
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.	Copy of action plan and any process documentation	Suzanne Jones	30/09/23	30/09/23	Not Started	Late	Corporate Resources	Amber	27/06/24	Karen Sutton	June 2024 update	Approval to recruit granted, role description drafted, recruitment to commence ASAP	The arrangements for controls over contract management and post award contract review are being finalized for another audit (Code of Procurement Review). Its implementation date shall be agreed in due course with SLT but tentatively will be around March/April 2025.
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.	Copy of presentation slides Attendee lists	Sarah Youthed	30/04/23	30/04/23	In Progress	Late	Corporate Resources	Amber	11/03/24	Sarah Youthed	Update March 2024	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.	Action plan to provide training to key staff for procurement and contract management areas are being finalized for another audit (Code of Procurement Review). Its implementation date shall be agreed in due course with SLT but tentatively will be around March/April 2025.
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.	Review on contracts register	Colin Moss	30/09/23	30/09/23	In Progress	Late	Operations	Amber	21/05/24	Colin Moss	HVO trial is still going		Audit action is expected to be completed in October 2024 as per update in September 2024. Sent e-mail to Colin on 15/11/2024 to confirm if the action has been completed. Awaiting response from Colin.
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.	SLT minutes	Colin Moss	30/09/23	30/09/23	In Progress	Late	Operations	Amber	21/05/24	Colin Moss	This is tied into the		Audit action is expected to be completed in October 2024 as per update in September 2024. Sent e-mail to Colin on 15/11/2024 to confirm if the action has been completed. Awaiting response from Colin.
1690	Debtors Continuous Auditing 22.23 / 1	Review and update the Debt Management Policy. Obtain appropriate approval of the revised policy.	Updated Debtors Policy	Sandra Dean	30/06/23	30/06/23	In Progress	Late	Corporate Resources	Amber	05/03/24	Karen Sutton	March 2023 update	The Director of Finance & Corporate Resources has agreed to draft this policy and to present it for approval.	Sent e-mail to Sandra on 15/11/2024. Awaiting on her response
1707	PCI-DSS / 1	THIS ACTION REPLACES THE ORIGINAL ACTIONS 1-3 OF THE PCI-DSS 18.19 ALL OF WHICH WERE OUTSTANDING AT CLOSURE IN JUNE 2023. Launch a PCI-DSS compliance programme to achieve compliance for all channels across the organisation including business change were required. A long implementation date (Sep 24) has been given until phases of the programme have been determined, at which point it is hoped each phase will have a date attached. Regular progress updates will be provided in 4 Action and to Corporate Governance Committee.		Suzanne Jones	30/09/24	30/09/24	Not Started	Late	Corporate Resources	Amber					Sent e-mail to Suzanne Jones (the new Director of Finance and Corporate Resources) on 15/11/2024 for an update as Karen (The previous Director of Finance and Corporate Resources) did not provide an update when she left in July 2024. Other staff in finance are not aware of this action.
1709	Risk Management 22.23 / 1b	This could be via periodic Risk Management workshops / presentations, via mandatory annual online training module or face to face meetings with Risk and Controls Officer. Note: Service Director (Finance and Resources) has stated this will likely be via mandatory, annual online training module).	Training rolled out to staff	Suzanne Jones	31/03/24	31/03/24	In Progress	Late	Corporate Resources	Red	27/06/24	Karen Sutton	June 2024 update	Approval to recruit granted, role description drafted, recruitment to commence ASAP	Actions 1709, 1710 and 1712 relate to risk management and will need to be completed by a risk and controls officer or Risk Manager. The previous risk and control officer left HDC in September. The post is still vacant. The Director of Finance and Corporate resources is considering the recruitment of an experienced risk and controls manager who can independently work on risk management at HDC and complete these actions. Until the Risk and control manager or officer is recruited, these actions cannot be completed. A tentative date for these actions to be completed is potentially April 2025.

1710	Risk Management 22.23 / 1c	Completion of training required by strategy subject to oversight / monitoring	Review of training completion data and evidence of its oversight / reporting.	Suzanne Jones	30/04/24	30/04/24	Not Started	Late	Corporate Resources	Red	21/05/24	Karen Sutton	May 2024 update	Completion of this action is linked to the completion of action 1609 and therefore cannot commence at this stage.	Same as Above
1712	Risk Management 22.23 / 2b	responsible for the reporting and formalise what reporting will take place. Note: reporting of the following information would enable robust oversight of the implementation of the risk management strategy: - % service / support functions with risks populated - % risks reviewed in quarter - % control assessments completed every 6 months - RM maturity assessment (judgemental) - % training complete (based on action 1) - Risk register data gaps - Completion of Risk Treatment Option Forms where required Reporting of the following would enable understanding of the Council's risk portfolio: - High risks – inherent and residual - Key actions / controls re high risks - Overdue actions - Risk appetite breaches	Review of standardised risk reports and evidence of their review by receiving forum (meeting minutes).	Suzanne Jones	31/03/24	31/03/24	Not Started	Late	Corporate Resources	Red	27/06/24	Karen Sutton	June 2024 update	Approval to recruit granted, role description grafted, recruitment to commence ASAP	Same as Above
1739	Tree Management 23.24 / 8	Confirm whether the responsibility for defensibility work, specifically for challenging and scrutinizing the accuracy of claim reports from third parties, lies with HDC or Insurer.	Correspondence between Arboricultural Service and Insurer	Chris Jones	31/08/24	31/08/24	Not Started	Late	Corporate Resources	Amber					Sent e-mail to Chris Jones on 15/11/2024. Awaiting response from Chris.