

**Appendix 2 – Update on Priority 1 and 2 Audit Recommendations at 31 October 2021**

Audit Report	Recommendation	Priority Scoring	Responsible Officer	Target Date	Progress	Progress RAG Status
Procurement (26/10/20)	We recommend that the Strategic Procurement Specialist finalises the draft Procurement Strategy as per the Finance and Procurement team's Operational Plan, to ensure the council can be held accountable for the Strategy's adoption and progression. The progress of implementing the Procurement Strategy, together with the adaptation of the CPRs, should continue to be closely monitored by the Assistant Director Finance, to ensure its timely progression in accordance with agreed implementation timeframes.	2	Strategic Procurement Specialist  AD for Finance/S151 Officer	Revised target 31/7/21 (previous 31/1/21)	<b>Procurement Strategy: COMPLETE</b> A new Procurement Strategy approved by Executive Committee in March 2021. <b>Contract Procedure Rules: COMPLETE PENDING FORMAL GOVERNANCE APPROVAL</b> – Approval in progress. Updated CPRs agreed by S151 Officer in July 2021. Formal approval by Council now being incorporated into proposed wider constitution updates report to AG Committee (Dec 2021) and Full Council (Feb 2022).	In Progress  (Complete Subject to Committee Approval)
Procurement (26/10/20)	<ul style="list-style-type: none"> <li>• Completes a review of the contract register to ensure that all existing contracts are identified within, and that any spending off-contract is challenged with the relevant Officers as required.</li> <li>• Ensures the reconciliation of the internal and external contract registers, to ensure they agree. This exercise should be performed at regular intervals going forward, to ensure the registers are maintained and up to date.</li> </ul>	2	Strategic Procurement Specialist	30/6/21	Contract Registers have been reviewed and updated. Ongoing maintenance of the registers is undertaken, requiring additional support from Ops Support team as procurement support officer post remains vacant. <b>COMPLETE</b>	<b>COMPLETED</b>
Procurement (26/10/20)	<p>We recommend that the Strategic Procurement Specialist liaises with the wider finance management team as intended, to develop and implement a proportionate suite of performance measures and reporting mechanisms that enable accountability and governance over the procurement function. Once developed, these should be documented, and this work should consider, but not be limited to, development of performance measures and monitoring in the following areas:</p> <ul style="list-style-type: none"> <li>• Regular monitoring of, and reporting to the Senior Management Team on, the achievement of the Procurement cost savings stipulated in the MTFP</li> <li>• The achievement of the value for money, sustainable Procurement, and the social equality commitments within the draft Procurement Strategy</li> <li>• Analysis of spending against approved, contracted, and uncontracted suppliers</li> <li>• The achievement and benefit of collaboration in procurement (e.g. through use of procurement frameworks, or other procurement initiatives)</li> </ul>	2	Strategic Procurement Specialist	Revised target 31/7/21 (Previous 31/03/21)	<p>Financial Strategy now incorporates limited procurement savings for a small number of contracts, therefore detailed procurement savings monitoring process not required. <b>CLOSED</b></p> <p>Resource capacity constraints have prevented development of additional reporting. This action is now closed with management accepting that risk is mitigated and managed through ongoing procurement processes and monitoring by the Strategic Procurement Specialist. <b>CLOSED</b></p>	<b>COMPLETED</b>

Audit Report	Recommendation	Priority Scoring	Responsible Officer	Target Date	Progress	Progress RAG Status
Ethical Governance & Culture (4/2/21)	The Governance Manager/AD – Corporate will ensure that the induction and training process includes all the key policies that establish a strong ethical culture within the organisation including: • Whistleblowing procedures • Conflicts of interest • Money Laundering and Fraud"	2	Governance Manager to liaise with AD – Corporate.	Revised target 02/07/21 (Previous 31/03/21)	Whistleblowing & Money Laundering & Fraud - eLearning packages have been added to the mandatory section of the learning management system (LMS), the updated policies need to be added in addition to this, which the People Business Partner (L & D) is working to complete (all staff will then need to affirm they have read and understood the policy alongside the training - this will be monitored by PBP over the coming months to ensure all required mandatory training is completed). Conflicts of interest currently sits in the induction section of the LMS. The People Business Partner and team are reviewing the induction material and required policies and will adjust the Induction vs Mandatory elements of the LMS to ensure suitable coverage. <b>COMPLETE.</b>	COMPLETED
Health & Safety (2/8/21)	Agreed. In the short term we will request that an existing Portfolio Holder accepts the responsibility of championing health and safety. In the medium to long term we will look into health and safety being a specific responsibility of Portfolio Holder. We will endeavour to provide an overview of the Health and Safety Management System to Members to enable them to understand the health and safety risks within the organisation and help them to act in their capacity as critical friends. This may be done by video that can be reviewed remotely. We will also provide a quarterly update to Members on the Health and Safety work carried out to keep everyone safe, including performance against key targets set.	2	Health and Safety Specialist	31/8/21	New H & S Committee structure being launched in Nov 2021 - consisting of 3 tiers (tier 1 = Members & SMT). Overarching action plan will be maintaining for all H & S actions and this will be visible to all 3 tiers. TOR will span all 3 tiers and 4 new Directorate Groups will be developed at tier 3 level. Work continues to develop Directorate Scorecards	In Progress
Health & Safety (2/8/21)	Risk Management Scoping Sessions have been delayed by a Health and Safety Partner leaving. They should now be completed by the end of July 2021. We are continuing with recruitment to fill the vacant post.	2	Health and Safety Specialist	31/8/21	Links via new Intranet page now allow Directorate/Teams to access individual action plans and progress stats. Scoping exercise complete but further work required to deliver action plans. This will be linked into the new H & S Committee corporate structure being launched in Nov 2021	In Progress
Health & Safety (2/8/21)	We will investigate the potential of iTrent to record the Training Needs Analysis, Learning and Development Records, develop training plans and produce detailed analysis on the training delivered.	2	Health and Safety Specialist	31/8/21	Essential 'Must Have' compliance training is collated centrally but there is still a gap to identify individual training requirements for roles (to be progressed with the L & D Team).	In Progress

There are a further 8 actions where the due date is further ahead and detailed updates will be reported nearer the time.