

Appendix 1 – Implemented Recommendations

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
Section 106	31 May 2020	Reconcile the new database to the various records held across the Council and update the database to ensure details of all 106 agreements are recorded in a single place.	Accepted	The creation of the new database to bring together various records held across the Council has been completed. All the records have now been merged and the new database continues to be updated and improved on an ongoing basis. Older agreements requiring reference back to paper files for reconciliation has been completed and evidence provided to validate. The appointment of a dedicated officer in the new structure has delayed progress but this is now complete.	No further action required
Our Town Hall: Management of Work Package Delivery and Payments	31 Aug 2021	Follow up action is undertaken by the Project Team to confirm the Construction Cost Report maintained by F&G is updated to reflect the discrepancies identified as part of the audit and ensure the figures reported is in alignment with those maintained by the management contractor. Further work may be needed to undertake similar reconciliations for the other work packages to ensure the issues identified here are not widespread amongst other work packages.	Conduct thorough review of each Works Package to ensure accurate allocation of budget transfers against all Instructions. Transition the project from the current system of separate Lendlease and F&G cost reporting into a single project cost report based on the Kahua system. Merge the two separate MEP packages contracted to NG Bailey into a single package to tidy up divergences.	An update provided by the project team in March 2022 confirmed all outstanding divergence to the end of January 2022 had been cleared and we reviewed evidence to support this. We also confirmed the work package totals for those reviewed as part of the original audit agreed with no discrepancies. We were informed that there is likely to be ongoing divergence owing to timing issues, but the plan is to close these out within the routine monthly cycle.	No further action required

Supplier Due Diligence	30 Nov 2021	<p>The ICP team should work with the Due Diligence Working Group, Internal Communications and directorate leads to develop the current contract management guides to include sections on ongoing financial due diligence and disseminate guidance to all relevant contract management and commissioning staff.</p> <p>Guidance should include the following:</p> <p>Consideration and reflection of relative risks in their contracts based on criticality, materiality, nature of market etc.</p> <p>Clarification of roles and responsibilities.</p> <p>Market Intelligence: (Given the diversity of Council contracts and commissions this will need to be flexible to reflect sectoral intelligence but could include for example GM or Core Cities Networks / Professional Networks (ADASS etc.) / Central Government Bulletins / Trade and Financial Press), sign ups to strategic supplier updates.</p> <p>Local Intelligence: Guidance to emphasise the need for regular, ongoing contract management to consider potential red flags or lead indicators that could suggest</p>	<p>Agreed.</p> <p>We have a workshop with Commissioning and Contracting Leads, and Finance, on 12 August to help develop a more consistent approach to identifying, monitoring, and responding to risks.</p> <p>We will update guidance on the intranet accordingly and circulate to staff.</p>	<p>The service has developed comprehensive new contract management guidance which includes ongoing financial due diligence requirements.</p> <p>This is available to all relevant contract and commissioning staff on the intranet.</p>	No further action required
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<p>Placement Finding: Review of Core Processes</p>	<p>30 Nov 2021</p>	<p>The Commissioning Service Manager should enhance the current controls in place to make the process around IPAs more efficient. This should consider:</p> <p>Expectations around issuing IPAs following a placement and ways of ensuring these timescales are met.</p> <p>How this can be easily determined when an IPA has not been returned by the provider.</p> <p>Expected timescales over chasing non returned IPAs along with any forms of escalation to be applied.</p> <p>Varying signatory requirements on the IPAs in accordance with the cost of the placement.</p>	<p>We accept the findings and will review the agreements in the IPA.</p>	<p>An update from the service confirmed the following actions have been taken since the previous update:</p> <ul style="list-style-type: none"> -IPAs are now completed by Centralised Placement Team officers. Weekly meetings with the Service Lead/Team Manager ensures IPAs are finalised and issued to providers more promptly. -Clinics undertake spot checks of IPA completion. -Commissioning officers have standard agenda items at provider meetings which includes IPA. This ensures any IPAs awaiting return are escalated formally within a contract meeting. -The implementation of monthly keeping in touch days with providers includes the discussion of IPAs. -Providers have been contacted by letter and reminded to return IPAs in a timely manner or payments may be put on hold. -Future developments include providing access to the Controcc provider portal where outstanding actions can be highlighted more easily. 	<p>No further action required</p>
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