

**Recommendations due after April 2021**

Audit	Recommendation	Priority	Target date	Latest update	RAG rating	Owner
Economy and Place						
s106 Agreement	<p>1.1 It is agreed that information in relation to section 106 monies held by council should be reported on a biannual basis to senior management.</p> <p>The council produces an Authority Monitoring Report and this report could provide the basis for a new Management Board report which would offer a more holistic view of the status of all S106 agreements expenditure and activity. The report could also include the following information:</p> <ul style="list-style-type: none"> <li>• Existing balances for all Section 106 agreements with monies exceeding the expiry date clearly identifiable.</li> <li>• Date money received.</li> <li>• Repayment date for money received.</li> <li>• Number of years unspent money held.</li> <li>• Action outstanding for each S106 agreement contribution received, including known reason for money unspent.</li> </ul> <p>The councils Project Management Team (within Corporate Services) are in the process of reviewing the Management Board structure and processes of the council. The</p>	2	08-Feb-22	<p>A meeting was held on 18 February 2021 with lead officers in all service areas to discuss who may report to the management board and how information is populated for the report. It was agreed that we need to establish the functionality of Business World to see if individual service areas can populate fields in Business World for a report to be run. Meeting to be arranged with Business World Support Team to establish functionality. I am aware of other service areas that use Business World for reports i.e. Property Services and the contract management team who oversee the work of Balfour Beatty Living Places.</p>	<b>Green</b>	Planning Obligations Manager

	<p>Planning Obligations Manager will contact the Head of Project Management to draw to their attention the need to report corporately on the status of section 106 contributions so that they can consider which management board would be appropriate for the information to be reported to.</p> <p>A virtual meeting has been arranged for 18 February 2021 with lead officers in all the service areas to discuss who may report to the Board and how information is populated for the report.</p> <p>Initial contact has been made with the Business World support team to look at the reporting functions within Business World to see if there is the capability to hold information on section 106 that is currently held on numerous spreadsheets. Initial discussions appear promising as other areas of the council report in Business World. The Planning Obligations Manager will formally ask the Business World support team to commence a piece of work to review the functionality of Business World. This piece of work will need to be built into their development programme and will incur a cost. We will need to consider who bears the cost of the work, whether it is a corporate requirement or a service area requirement.</p>					
s106 Agreement	1.2 It is agreed that information in relation to section 106 spend by the	2	08-May-21	A meeting was held on 18 February 2021 with lead	Amber	Planning Obligations Manager

	<p>council should be reported in an open and transparent manner, irrespective of the value. This can be done through the production of a Record of Officer Decision produced through Mod.Gov and published to the council website.</p> <p>A virtual meeting has been arranged for 18 February 2021 with lead officers in all the service areas to advise of the need to produce a Record of Officer Decision for all section 106 spends and to discuss whether this is reported individually or on a monthly basis with information on what has been spent that month.</p> <p>With regards to reporting on the section 106 monies paid to external organisations, the Planning Obligations Manager will write to those organisations on a biannual basis outlining what money they have received and asking them to advise the council on what the monies have been spent. This information can be held in Civica against the planning application and published to the web against the planning application record. We could also consider how this information can be published to the decision- making section of the website.</p>			<p>officers in all service areas to discuss introducing Record of Officer decisions for spend of section 106 monies. The Capital Commissioning Officer for education already produces Records of Officer Decisions (RoOD) to record decisions on section 106 monies. Other service areas do not spend on a monthly basis an example being Waste and Recycling who draw down monies to buy bins in bulk as the economies of scale means that this is more cost effective rather than buying on a development site basis. In addition, the way that section 106 highway monies are commissioned to deliver schemes is currently being considered by Senior Management. If the decision is to deliver through an open tender process then thought will have to be given as to how the decision to spend is captured (it was previously captured as part of the BBLP Annual Plan). It was agreed that where service areas have a relatively straight forward mechanism for spend i.e. sign off of a requisition for payment then that requisition will be</p>		
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				<p>accompanied by a RoOD to be published to the council website. The RoOD template is available on the council Governance Intranet pages along with an explanatory guide. Not all officers have completed or published a RoOD so I have arranged for Democratic Services to provide a training session on how to complete and publish a RoOD. The completion date will need to be amended so that consideration can be given as to the Governance arrangements for spending section 106 highway monies.</p>		
s106 Agreement	<p>1.3 Initial contact has been made with the Business World support team to look at the reporting functions within Business World to see if there is the capability to hold information on section 106 that is currently held on numerous spreadsheets. Initial discussions appear promising as other areas of the council report in Business World. The Planning Obligations Manager will formally ask the Business World support team to commence a piece of work to review the functionality of Business World. This piece of work will need to be built into their development programme and will incur a cost. We will need to consider who bears the cost of the work,</p>	3	08-Feb-22	<p>Meeting arranged with Senior Management on 20 April 2021 to discuss how the development of the functionality of section 106 reporting in Business World will be funded.</p>	Green	Planning Obligations Manager

	whether it is a corporate requirement or a service area requirement.					
Facilities Management	1.7.2 We recommend that the Commercial and Contracts Manager arranges for further notification be posted onto SharePoint with a backup email sent to all users, detailing the new process. Consideration could also be given to posting a notification on staff notice boards.	3	30-Apr-21	Property Services will liaise with the Commercial and Contracts Manager to review with service provider how the current automated email facility can be improved to allow for further updates and timescales to be communicated, and will continue to address as part of the re-procurement of the new service contract.	Amber	Commercial and Contracts Manager / Strategic Property Services Manager
Staff Car Parking - Business Passes	1.1 We recommend that the Assistant Director for Technical Services ensures that: <ul style="list-style-type: none"> <li>• A solution is identified and implemented to provide a master list of active pass holders with appropriate reports to allow monitoring to be simplified,</li> <li>• All existing pass holders are checked for general compliance with the Staff Car Parking Policy - Business Passes April 2019 annually.</li> </ul>	2	30-Apr-21	A solution utilising the existing parking permit management system (Chipside) is to be utilised for the issue of business permits, much like a resident permit. As this system is designed to administer permits for parking it has full capability to allow active / live permits to be tracked, reports to be collected, and details / notes for each case to be assigned. Business world will be reserved for the administration of applications from staff members, where details will be entered to Chipside to issue the permit, where the application will be linked via a reference ID.	Red	Parking Strategy and Processing Manager

				<p>Whilst it is difficult to produce an arbitrary method to issue a business permit (i.e. linked to a certain number of miles and employee claims) due to multiple differences between employees jobs roles and employment status, some 'markers' can identify active permits which ought to be reviewed. The first marker used will be mileage, where pass holders with less than 1000 miles in a year will be flagged. Of those flagged, calendars can then be reviewed to ascertain the level of 'direct services residents /clients' being carried in their job role. The residual active permits which appear non-compliant (following the first two checks) can then be sent direct to the employee for the self-declaration process to be repeated where, following their response, this can be reviewed by the approved parking panel to make a decision on whether the employee continues to satisfy the requirements of the policy.</p>		
Corporate Support						
Compliance with Financial,	1.1 We recommend that: • The Council in conjunction with	3	30-Apr-21	<b>Complete</b>		Assistant Director Corporate Support

Procurement and Contract Procedure Rules 2019/20	Hoople Ltd verifies that a full record is retained for all commissioning and contractual information relating to Herefordshire Council contracts procured on behalf of the Council by Hoople Ltd. <ul style="list-style-type: none"> <li>• Hoople Ltd should ensure that all Herefordshire Council contract procured by Hoople Ltd on the Council's behalf are attached to the Herefordshire Council's contract register.</li> </ul>					Head of System Delivery Technology & Transformation
Staff Car Parking - Business Passes	1.2.2 We recommend that the Assistant Director Corporate Support further investigates the leavers process to ensure the Parking Services Team are notified of leavers/changes in role and that this is done promptly.	3	30-Jun-21	Not completed by SWAP. Delayed until quarter 2 or 3 in agreement with the Assistant Director People.	Amber	Assistant Director Corporate Support
Significant Partnerships	1.3 <ul style="list-style-type: none"> <li>• For the summary of partnerships to be published as part of papers to Audit and Governance Committee,</li> <li>• For a simplified significant partnership register to be published but include links to relevant websites,</li> <li>• Evidence of Terms of Reference review and updated when necessary (subject to audit).</li> </ul>	2	31-Jan-22	In plan.	Green	Assistant Director Corporate Support
Members Allowances and Expenses 2019/20	1.3a We recommend the Democratic Services Manager considers including specific guidance amounts for subsistence in the Councillors allowance scheme.	3	31-May-21	The IRP is about to get underway and is aiming to provide a report to council on 21 May.	Green	Democratic Services manager and Democratic Services Officer
Significant Partnerships	1.1 <ul style="list-style-type: none"> <li>• Clarify the definition of a significant</li> </ul>	2	28-Feb-22	Work is underway.	Green	Solicitor to the Council

	<p>partnership and evaluate the refresh required to the Partnership Governance Framework to meet the current and future needs of the Council,</p> <ul style="list-style-type: none"> <li>• Consideration should be given to the presentation of a revised documentation to improve the readability for the intended audience and ensure that good governance management is incorporated into the guidance including a header page, table of contents, document owner, review date and version control,</li> <li>• Effective PGF communication so all link officers of significant partnerships and the management board are aware of the Partnership Governance Framework document, so an improved response to the annual assurance process is achieved,</li> <li>• Training / guidance on the completion of the annual checklist for significant partners should be completed prior to the 2020-21 annual assurance activity.</li> </ul>			<p>Training offered to link officers April and May 2021.</p>		
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Blue	Green	Amber	Red
<p>Projects/programmes/activities that have been completed</p>	<p>Projects/programmes/activities that are progressing as planned and outputs will be delivered to agreed specification within agreed timescales.</p>	<p>Projects/programmes/activities that are experiencing obstacles that <b>may</b> prevent the delivery to agreed specification, timescales or costs but there is confidence that delivery can be brought back on target.</p>	<p>Projects/programmes/activities that are experiencing obstacles that <b>are likely to</b> prevent the successful delivery to agreed specification, timescales or costs and significant involvement is necessary to bring that project back in line with original</p>



			expectations or revised plan for delivery is needed
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