

Appendix A

Ref	Directorate	Date Reported	Activity	Value	Breach Type	Action and Lessons Learnt	Status
1	THIP (Active Travel)	November 21	Communications support for Active Travel programme	£5k	Appointment of a contractor without authorisation and contract	<p>Retrospective authorisation agreed.</p> <p>Retrospective contract agreed.</p> <p>Internal audit investigation undertaken. Review highlighted a breakdown in communication between senior and junior officers, and a lack of awareness around HR and procurement procedures, particularly with new officers.</p> <p>Contract and Procurement officers have reissued guidance and undertaken a number of team and one-to-one sessions.</p> <p>An integrated induction module covering Financial, Procurement, and Contracting rules has now been set up that is mandatory for all new starters.</p>	Resolved
2	THIP (Housing)	November 21	Professional services for Business Case development	£15k	Contract overspend	<p>Retrospective authorisation for contract extension agreed.</p> <p>Retrospective contract extension formalised with supplier.</p> <p>Review of the circumstances highlighted a misunderstanding in authority to vary contract specifications, and a lack of understanding on proper process for instructing suppliers.</p> <p>Contract and Procurement officers have undertaken a number of team and one-to-one sessions.</p>	Resolved