

SCRMCA Recommendation Status Report - Procurement Arrangement (Overall audit opinion - Limited)

Year & Period Due	Audit Report Title, Recommendation Number and Recommendation Title	Recommendation - Description	Priority	Theme	Status	Target Impl. Date	Original Target Impl. Date	No of Date Revisions	Agreed Management Action	Progress Update	Action Manager	Auditor
NOT YET DUE												
2019/20 Q3	SCRMCA Procurement Arrangements R5 - Contracts Register	The findings of the review should be considered and addressed to ensure that the Transparency Code and associated best practice requirements are being fully met.	Merits Attention	Transparency	Not Yet Due	31st October 2019			The Contracts Register will be updated for the omissions identified from the review. The department responsible will be recorded on the register as the Operational Contracts Team who will co-ordinate with the relevant officers and provide responses to any queries received.		Assistant Director, Operational Contracts	David White
2019/20 Q3	SCRMCA Procurement Arrangements R6 - GPC Cards	The Employee Agreement should be reviewed and updated to ensure that GPC card holders formally declare the requirement to adhere to the regulatory / policy requirements.	Merits Attention	Financial & Asset Management	Not Yet Due	31st October 2019			The employee agreement is inherited from SCC. This agreement will be reviewed and updated to include the requirement for officers to declare that they will adhere to regulatory / policy requirements.		Assistant Director, Operational Contracts	David White
2019/20 Q3	SCRMCA Procurement Arrangements R3 - Procurement Procedures	All Officers should be reminded of the importance of adhering to the Public Contract Regulations, CPR and procedural requirements when undertaking procurement related activity.	Significant	Compliance	Not Yet Due	31st December 2019			A review of the processes and associated requirements specific to low value procurement activity will be undertaken with CPRs updated accordingly. Workshops will be organised for attendance by all relevant officers to inform them of the updated / revised requirements.	UPDATE OCT 19 - Underway pending team reorganisation.	Assistant Director, Operational Contracts	David White
2019/20 Q3	SCRMCA Procurement Arrangements R4 - Contracting	Formal contracts should be entered into, prior to commencement, for all future projects. In addition, the information included should accurately reflect the details of the award i.e. contract value and associated end dates.	Merits Attention	Financial & Asset Management	Complete	31st December 2019			The SCRMCA endeavour to obtain contract signatures prior to the commencement of the provision of goods, supplies and / or services and will continue to do so. However, it should be noted that delays are experienced with regard to suppliers returning contract documentation on a timely basis.	CLOSED	Assistant Director, Operational Contracts	David White

2019/20 Q3	SCRMCA Procurement Arrangements R8	All application forms and evidence of approval should be securely retained in future, in accordance with the requirements of Financial Regulations and Document Retention Policy. Management should consider the use of merchant category restrictions and individual transaction limits to provide for enhanced controls with regards to procurement card expenditure.	Merits Attention	Financial & Asset Management	Not Yet Due	31st December 2019			A reminder will be issued to all relevant officers to confirm that all approved documentation needs to be retained in accordance with specified retention policies / schedules. A review of current card holders, merchant categories, business and individual transaction limits will be undertaken. Cards will be revoked and cancelled (where appropriate) and restrictions applied following the outcome of the review.	Senior Finance Manager	David White
2019/20 Q3	SCRMCA Procurement Arrangements R9 - GPC Cards	All procurement cardholders and approving officers should be reminded of the process requirements and submission timescales that must be met. Official itemised receipts / invoices (VAT receipts where applicable) should be obtained for all purchases, in addition to the procurement card terminal receipt.	Merits Attention	Information Assurance	Not Yet Due	31st December 2019			GPC process requirements will be reviewed and updated (where appropriate). A notification will be issued to all card holders informing of requirements upon the completion of this review.	Senior Finance Manager	David White
2019/20 Q3	SCRMCA Procurement Arrangements R10 - GPC Cards	A review of the business credit limit, current card holders and individual credit limits should be undertaken to determine if there is a continued business requirement for a procurement card, with credit limits adjusted (as appropriate). Cards should be cancelled / removed where a business need is no longer required and / or allocated to additional users as considered appropriate.	Merits Attention		Not Yet Due	31st December 2019			A review of current card holders, merchant categories, business and individual transaction limits will be undertaken. Cards will be revoked and cancelled (where appropriate). Category restrictions will be considered and applied accordingly and revised limits requested based upon the analysis completed.	Senior Finance Manager	David White
2019/20 Q3	SCRMCA Procurement Arrangements R11 = GPC Cards	Procurement cards should be utilised in accordance with the terms and conditions and all purchases should be approved by the cardholder prior to orders being placed. In addition, officers should be required to complete an Employee Agreement confirming their adherence to the requirements of the T&Cs of the card and also regulatory / procedural requirements.	Merits Attention		Not Yet Due	31st December 2019			A business decision will be made with regard to the sharing / utilisation of procurement cards. All employees that utilise the cards will be required to complete an employee agreement form declaring compliance with the T&Cs and regulatory / procedural requirements.	Senior Finance Manager	David White

2019/20 Q4	SCRMCA Procurement Arrangements R1	The Contract Procedure Rules and other procurement related documentation should be reviewed and updated in conjunction with the Operational Contracts Team at the earliest opportunity. All officers should be notified of the updated documentation, upon the completion of the review and signposting provided to its location.	Significant		Not Yet Due	31st March 2020		<p>Clear linkages will be made between the established commissioning process and the procurement process.</p> <p>Any new procurement procedures will reference that, where appropriate, Data Protection and Equality implications will be considered as part of the decision to procure.</p> <p>The CPRs, associated procurement documentation and Financial Regulations will be reviewed and updated to ensure that they are aligned, address the findings from this review and are reflective of current working practices.</p>	<p>UPDATE OCT 19 - The procurement procedure rules (PPR's) are being re-written to ensure they provide a comprehensive guide to the procurement procedure. Work has commenced on this re-write and it is expected that a first draft will be prepared for internal consideration by end Oct 19.</p>	Principal Solicitor & Secretary to the Executive	David White
2019/20 Q4	SCRMCA Procurement Arrangements R2	<p>All officers must complete and submit a return declaring any conflicts of interest (including nil returns). Declarations should be analysed and considered when undertaking procurement activity compensating controls and / or appropriate safeguards implemented (where considered appropriate) to mitigate associated risks.</p> <p>Conflict of interest forms should be completed by all officers within the procurement process on a risk basis and should extend to those RFQ opportunities that are openly advertised.</p>	Significant		Not Yet Due	31st March 2020		<p>Procurement procedures will be amended to clarify that there is a positive obligation, in accordance with the Officer Code of Conduct, to declare any conflict of interest should a conflict situation arise during the procurement process.</p>	<p>UPDATE OCT 19 - The obligation to declare conflicts of interest already exists and should be being complied with as it an officer code of conduct issue, the inclusion/clarification of the obligation in PPR's is part of the work under above recommendation.</p>	Principal Solicitor & Secretary to the Executive	David White
2019/20 Q4	SCRMCA Procurement Arrangements R7	A business entertainment and foreign travel policy should be drafted and approved, to confirm the type and level of expenditure that is acceptable to the SCRMCA when attending meetings and other commercial (business) related events. The policy should be published on the Intranet Site.	Significant		Not Yet Due	31st March 2020		<p>The current policies will be considered and, should management deem it necessary, a Business Entertainment Policy specifically for Officers will be drafted.</p>		SCR Senior Finance Manager & Deputy Managing Director	David White