

Appendix D

OUTSTANDING HIGH RISKS

Procurement – Awaiting outcome of work by IESE

<i>RECOMMENDATION</i>	<i>RISK / PRIORITY</i>	<i>RESPONSIBLE MANAGER</i>	<i>CLIENT COMMENTS AT INITIAL REVIEW</i>	<i>Situation at Last Follow Up</i>	<i>Manager comments after CMT (not yet verified by Audit)</i>
Consideration should be given to an interim review of the Procurement Strategy to improve its relevance.	Low Six months	Strategic Projects Coordinator	<i>INITIAL REVIEW</i> <u>Strategic Projects Coordinator</u> It is due to undergo review in 2011 it will be updated with the organisational changes then.	<i>FIRST FOLLOW UP</i> <u>Strategic Projects Coordinator</u> To be completed this year. <i>SECOND FOLLOW UP</i> <u>Strategic Projects Coordinator</u> In this year's work. Will look at setting this up on Covalent	<i>To be completed this year.</i> <i>Parts of the IESE work programme for Jan-Mar 2014</i>
A system should be in place that informs interested parties when contracts fall due for renewal.	Medium Three months	Suggested Contracts Review Group	<i>INITIAL REVIEW</i> The Strategic Projects Coordinator now has responsibility for maintenance of the Contracts database. The contracts database is still in the process of being compiled and when completed it has been suggested that a copy be included onto "Insite". Contracts renewal dates will be included which should assist Legal in monitoring contract renewal dates.	<i>FIRST FOLLOW UP</i> The South East Business Portal does not allow reminders to be set up. Currently reminders are sent out by the Strategic Projects Co-ordinator. <i>SECOND FOLLOW UP</i> <u>Strategic Projects Coordinator</u> This is still carried out by the SPC. Will look at setting this up on Covalent.	<i>Still carried out by the Strategic Project Co-ordinator.</i> <i>Standing agenda item for weekly Procurement team meetings. (Contracts ending in the next 12-18 months)</i> <i>IESE work programme published in advance.</i> <i>Managers Forum IESE workshop annual reminder.</i> <i>Service and Financial Plan – section on service development should capture major procurement.</i>

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Where contractors are expected to abide by any of the Council's policies, rules and guidelines, these must be sent out with the contract and not left to the contractor to request copies. Alternatively the information should be uploaded onto the website and contractors informed where these documents can be found.	Medium Three months	Procurement Group	The Strategic Projects Co-ordinator states that she is to obtain training on the use of the system for updating the internet. Once the training has been received this recommendation will be addressed. It is also intended to build a page on the intranet and fully update the web page.	<p>FIRST FOLLOW UP Training still to be undertaken.</p> <p>SECOND FOLLOW UP Links to policies etc to be put on procurement area of website when live.</p>	<p><i>Links to policies etc to be put onto procurement area of the website.</i></p> <p><i>IESE work programme year 2 (Jan – Dec 2014) has allowance for Information Management which includes developing the portal.</i></p>
Generic guidelines for the processes and procedures of managing and monitoring contracts should be written and disseminated.	Medium Three months	Procurement Group	Work is currently ongoing on writing Contract Monitoring Guidance.	<p>FIRST FOLLOW UP Still working on tender guidance.</p> <p>SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> By March 2014</p>	<i>By March 2014</i>
A page must be set up on the intranet that gives details of corporate contracts. Procedures for the use of corporate contracts should be clarified and /or clear directions given on the intranet.	High Six months		Agreed	<p>FIRST FOLLOW UP To be put onto the intranet 3 months</p> <p>SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> To be discussed with new Exchequer Manager when in post.</p>	<i>The Strategic Projects Co-ordinator has now taken over management of the Corporate contracts. Once full information has been gathered this will be uploaded onto the intranet.</i>

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<p>Processes need to be put in place. E.g.</p> <ul style="list-style-type: none"> The payments team are clearly informed that they have the authority to insist that the corporate purchasing contracts are used. The SP & PO is tasked with regularly reporting findings to someone who can contact relevant departments and insist that these contracts are used. Other creditors are "stopped" on the system and can only be "opened" when special permission is granted by an authorised officer outside of the relevant department (to be agreed). 	<p>High Six months</p>		<p>Agreed</p>	<p>FIRST FOLLOW UP Awaiting restructure</p> <p>SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> On this year's work plan. Discuss with new Exchequer Manager when in post.</p>	<p><i>IESE are carrying out a project on creditors. This will include recommendations on the control of new suppliers. This is likely to include "auto-cull", training and awareness on use of the Portal.</i></p> <p><i>Category spend analysis is being carried out by IESE to look at the possibilities of initiating contracts.</i></p> <p><i>Reminders about raising purchase orders have been sent out and training has been delivered in October.</i></p>

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When the new Procurement team is set up one of their objectives should be to consider and implement procedures for the reduction of the number of new creditors being added.	Medium Six months		Agreed	<p>FIRST FOLLOW UP Awaiting restructure</p> <p>SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> On this year's work plan. Discuss with new Exchequer Manager when in post.</p>	<i>As above</i>
Information regarding "buying solutions" and how to use the set frameworks should be put onto the intranet.	Medium Six months		Agreed	<p>FIRST FOLLOW UP Awaiting restructure</p> <p>SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> New government website Government Procurement Service. Call off by named officers only. Two recently registered and looking to register more officers for backup. Information to go on Insite to encourage staff to seek agreements but all call-offs must be through the main two officers.</p>	<i>As comments for second follow up. Part of IESE year 2 (Jan – Dec 2014) as part of the scope of Information Management.</i>

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Food Safety and Hygiene – next follow up to be carried out in January 2014

RECOMMENDATION	RISK / PRIORITY	RESPONSIBLE MANAGER	CLIENT COMMENTS AT INITIAL REVIEW	Situation at Last Follow Up	Manager comments after CMT (not yet verified by Audit)
<p>A review of Food Safety and Hygiene inspection policies and procedures must be carried out.</p>	<p>High Risk Six Months</p>	<p>Health & Environment Manager</p>	<p>The policies and procedures do not reflect current legislation or government guidance. The forms and notices contained within, in some cases, refer to out of date legislation. Two areas overlooked in the documentation are Imported Food and the National Food Hygiene Rating Scheme (NFHRS). Officers have amended their own individual paper or electronic versions, but there is not a master copy available. Officers are each using different versions of the food hygiene inspection form. These deficiencies may be challenged in court if the Council pursue a prosecution in relation to food hygiene. A copy of EBC's current Scheme of Delegation is not currently accessible and may be required in urgent cases involving an Emergency Prohibition Notice being served. It is available on EBC's website but this does not contain specific officer details.</p>	<p>Procedures not yet reviewed – priority is annual inspection programme and the team of 2 has inadequate resources at present to progress this. They will be reviewing what we currently have, drawing up a programme of what needs to be reviewed, and prioritising for amendment.</p> <p>Resources within the team are under review and a business case will be prepared to request additional resources.</p> <p>A common inspection form is now being used.</p> <p>Delegations have now been made to individual staff.</p>	<p>The focus continues to be the annual inspection programme, however some initial work has been done to assess and review the policies and procedures. There are 20 of these and work is required to update the references to legislation and include Imported Food legislation and the NFHRS. The standard of the policies and procedures is high and the exercise that is required is updating and amending, rather than re-writing. A plan will be put into place by the end of November to prioritise the work that is required, with targets and timescales.</p>

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<p>It should be endeavoured to carry out inspections (particularly those within a medium to high risk category), within one month of the scheduled date.</p>	<p>Medium Risk Three Months</p>	<p>Health & Environment Manager</p>	<p>In recent years, category E (low risk) premises were mailed out a questionnaire to complete and returned, and this process was done in bulk once a year. Since the introduction of NFHRS, the team must inspect these premises by visit which has increased the number of inspections to be carried out. Inspections carried out prior to or post 28 days of the due date may disadvantage a business as they are not getting timely advice or their NFHRS rating, and a delay in inspection may put consumers at risk.</p>	<p>It has not been possible to complete the food inspection programme within the 1 month parameter. Scripts have not yet been written for the food service and it is these that will determine the work that will pass to other teams in the future model, for example it is anticipated that there are some tasks that the caseworkers could carry out. As of 27/09/13 there is no scheduled date for the scripts to be done, but they will follow on from Licensing which is currently in progress. At present the team are behind schedule and there are currently 271 overdue inspections outstanding as of 11/09/13</p> <p>Work is in progress with Wealden and Rother to appoint them to do 200 category "C" inspections which will assist with the backlog. We anticipate they will commence in the next month.</p>	<p>Work has commenced on the scripts and processes and completing them to enable work to be carried out in line with the Future Model is a priority for early in the New Year. Alongside this work, caseworkers have been working closely with the Specialist Advisors to support the Food function, for example assisting the Specialists with sampling, and responding to some initial queries from customers.</p> <p>As at 31/10/13, 216 inspections have been completed by the Specialist Advisors out of a total of approx 600. The number of inspections will increase each month. The total number required cannot be finalised until the year end, as businesses begin and cease trading, and when there is a new proprietor a new inspection is required.</p> <p>Arrangements have been finalised with Wealden and Rother to carry out 200 category "C" inspections, and these commenced in early November.</p>
<p>Internal monitoring records should be retained and kept for two years in line with the Framework</p>	<p>Medium Risk Six Months</p>	<p>Health & Environment Manager</p>	<p>Agreed</p>	<p>The Senior post has been deleted and the function is now managed by the Manager of Specialist Advisors and supported by the Senior Specialist Advisor. These two roles</p>	<p>The caseworkers have commenced working with the specialists to support the food function, as mentioned above.</p>

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<p>Agreement on Local Authority Food Law Enforcement.</p>				<p>incorporate line management and service delivery. While the monitoring details are explained extensively in the Food Safety Service Plan 2013 these actions are behind schedule due to the ongoing transition to the Future Model ways of working. However these will be picked up by the Senior Specialist Advisor going forward.</p>	<p>Additional resources have been allocated to enable external assistance with the completion of inspections.</p> <p>In terms of monitoring, inspection, intervention and performance targets, these are reviewed on at least a monthly basis.</p> <p>The Senior Specialist Advisor has a role in examining the computer database on a routine basis to ensure all fields operate properly and are accurately populated, and cross checking data with any paper files. Alongside this, a review will be undertaken on a quarterly basis of a sample of service requests and inspections, which will be recorded in the database.</p> <p>Recommendations for legal proceedings will be examined by the Senior Specialist Advisor, and signed off by the Manager before referral for to the legal team.</p> <p>Accompanied inspections will be conducted for all authorised officers at least once a year.</p>
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