

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>Part of the IESE programme for 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>Part of the IESE programme for 2014.</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.	FIRST FOLLOW UP Training still to be undertaken. SECOND FOLLOW UP Links to policies etc to be put on procurement area of website when live.	<i>Part of the IESE programme for 2014.</i>
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.	FIRST FOLLOW UP Still working on tender guidance. SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> By March 2014	<i>Part of the IESE programme for 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	FIRST FOLLOW UP To be put onto the intranet 3 months SECOND FOLLOW UP <u>Strategic Projects Coordinator</u> To be discussed with new Exchequer Manager when in post.	<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>Part of the IESE programme for 2014.</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>Part of the IESE programme for 2014.</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>Part of the IESE programme for 2014.</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><u>Follow up carried out in January 2014</u></p> <p><u>Manager Comment:</u> 5 procedures prioritised and currently being reviewed as part of a rolling programme to review all procedures.</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><u>Follow up carried out in January 2014</u></p> <p><u>Manager Comment:</u> Positive progress is being made as workshops have taken place with Ignite and Civica on infectious diseases and outbreaks, food complaints, food inspections, approved premises, food registration and service requests. Scripts and processes are currently being built, to be followed by user acceptance training and Caseworker and Customer Advisor training to ensure knowledge and skills transfer takes place for those areas of work which will fall into their remit.</p> <p>Caseworkers have received external training from Public Health England on infectious diseases and steps that need to be taken.</p> <p>Wealden and Rother commenced inspections in November and 50% undertaken as of 17th January. They are on track to complete the 200 inspections by the year end.</p>

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<p>Internal monitoring records should be retained and kept for two years in line with the Framework Agreement on Local Authority Food Law Enforcement.</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 incorporate line management and service delivery. While the monitoring details are explained extensively in the Food Safety Service Plan 2013 these actions have not been undertaken because of the impact of the change to the Customer First way of working and reduction in size of the team, alongside the fact that little food work is being carried out by caseworkers. Once it has been established what the caseworkers will take on, the business case for additional resources will be completed.</p>	<p><u>Follow up carried out in January 2014</u></p> <p>Manager Comment: Plan to commence internal monitoring in quarter 4. The role of the Senior Specialist Advisor is to examine 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>The two Specialist Advisors with responsibility for Food accompany each other on a sample of inspections.</p>

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Records Management – 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>Consideration should be given to having someone with extensive knowledge of Records Management to review the current processes, devise new processes and put in place the following recommendations.</p>	<p>High Twelve months</p>	<p>CMT</p>	<p>At a meeting of CMT when this draft report was first discussed it was agreed that work should begin immediately to find out what other authorities do and to see if it is possible to work in collaboration or in consultation with them, using established expertise and know-how to achieve the objectives outlined in this Report.</p> <p>Records Management expertise was identified at several authorities. The Information and Administration Officer recently met with the Records Management Officer from Woking to share expertise, while approaches were made directly to several authorities with dedicated expertise in this area.</p> <p>The Records Manager at Brighton & Hove City Council has agreed to assist. He has provided constructive comments on the draft Records Management and Retention and Disposal Policies. He</p>	<p>The Senior Head of Infrastructure stated that a Document Disposal module has been purchased from Civica as part of Future Module Phase 2 with some associated services.</p> <p>The Retention and Disposal Schedule has now been updated and completed so discussions will now take place to move this recommendation on.</p> <p>A meeting was held on 18th October 2013 to discuss issues and consider the next steps to progressing awareness of, and setting up, systems to ensure that, records are adequately managed.</p> <p><u>Senior Head of Infrastructure.</u> Despite the valuable input from Woking and BHCC, we still require some RM expertise to assist us going forward. Civica cannot provide this, we will need to engage a specialist.</p> <p><u>PARTIALLY ADDRESSED</u></p>	<p><i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i></p>

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			<p>has also made suggestions regarding what other considerations should be taken into account in respect of the council's records management arrangements and has agreed that VS and DW can visit his office once his workload allows for a brief overview of how BHCC deal with records management</p> <p><u>Audit Comment</u> At a meeting of CMT on 9/4/13 it was agreed that Civica be approached as part of Phase 2 of the Agile project with a view to buying in expertise and appropriate software.</p>		
<p>Awareness training must be provided across the Council. It is important that all managers must undertake this awareness training. This must include reminding staff that ALL documents, in whatever format, must be disposed of in accordance with the Retention and Disposal Schedule</p>	<p>High Twelve months</p>	<p>Responsible officer dependant upon outcome of first recommendation</p>	<p>Data Stewards received their initial training on 5 March. There are now 11 Data Stewards across the range of functions and they have been charged with cascading awareness of the issues.</p> <p>Further training will be provided once the draft records management policies and processes have been agreed. A timetable will be agreed for Records management training throughout the council once the comments received from an external</p>	<p>Various updated and new policies have been written and taken to, and agreed by, the Equality and Fairness Steering Group. These were then taken to and agreed by CMT.</p> <p>The policies now need to be published and training organised. It was stated that further training for data stewards is intended to be carried out by the end of the year.</p> <p><u>Senior Head of Infrastructure.</u> Part of the engagement of the external consultant should be to carry out a light touch review of the draft policies and devise a more detailed training course for data stewards and a short sharp course</p>	<p><i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i></p>

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			commentator have been reviewed. <u>PARTIALLY ADDRESSED</u>	for all staff. <u>PARTIALLY ADDRESSED</u>	
Work must be carried out to finalise, update and publish the suite of draft policies and publish them on the intranet so they are easily available to all staff.	High Twelve months	Responsible officer dependant upon outcome of first recommendation	The policies have been updated internally and also critically reviewed by the Records Manager at BHCC. Once his comments have been considered for inclusion they will be ready for approval and publication on the intranet. The draft Records Management Guidance and Records Management Overview have been merged into one overall Records Management Policy document in the interests of clarity. <u>PARTIALLY ADDRESSED</u>	Various updated and new policies have been written and taken to, and agreed by, the Equality and Fairness Steering Group. These were then taken to and agreed by CMT. The policies now need to be published and training organised. It was stated that further training for data stewards is intended to be carried out by the end of the year. <u>Senior Head of Infrastructure.</u> As above, I believe it would be valuable to get the external consultant to complete a light touch review before we finalise and publish these. <u>Lawyer to the Council and Monitoring Officer.</u> Ensuring that staff adopt the document naming convention only before end 2013 is a meaningful first step in the project. However staff training cannot occur until all of the policies have been reviewed and external consultants input obtained. <u>PARTIALLY ADDRESSED</u>	<i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i>
The Retention and Disposal Schedule must be thoroughly reviewed; both the layout and the content.	High Three months	Responsible officer dependant upon outcome of first recommendation	Woking Borough Council have requested permission to base their Retention and Disposal Schedule on EBC's and have indicated that they will let us have a copy	Various updated and new policies have been written and taken to, and agreed by, the Equality and Fairness Steering Group. These were then taken to and agreed by CMT.	<i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i>

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<p>(As part of this recommendation serious thought should be given to the wording contained in the Retention and Disposal schedule for the disposal of documents. Currently the wording reads "keep for X years before considering destruction". The use of the word "considering" means that it is not clear if documents must be destroyed and could leave the Council open to breaches of the Data Protection)</p>			<p>of theirs once it is complete.</p> <p>It is noted that the Retention and Disposal Schedule needs to be 'future proofed' to allow for Future Model and any subsequent structural changes. With this in mind, it will no longer be organised according to departments.</p> <p>It is planned to delete the 'record status' column as this was never used. This will mean the whole schedule will need to be re-written. Instead of a 'corporate reference' column there will be a 'Ref No' column. This will provide a numbered reference to assist officers locate information more readily.</p> <p>The wording will be changed to delete the word 'consider' so it is clear that documents must be deleted after a set period. This work is 50% complete.</p> <p><u>WORK PROGRESSING</u></p>	<p>The policies now need to be published and training organised. It was stated that further training for data stewards is intended to be carried out by the end of the year.</p> <p><u>Senior Head of Infrastructure.</u> The external consultant should complete a thorough review of the R&D schedule, with a specific goal of tightening up areas which are vague and minimising the number of 'permanent' retention periods.</p> <p><u>PARTIALLY ADDRESSED</u></p>	
<p>Consideration must be given to how documents (both on W2 and elsewhere)</p>	<p>High Twelve months</p>	<p>Responsible officer dependant upon outcome of first recommendation</p>	<p>It is planned that Civica will provide a demonstration on the Records Management Database module of W2 to</p>	<p>The Senior Head of Infrastructure stated that a Document Disposal module has been purchased from Civica as part of Future Module Phase</p>	<p><i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i></p>

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<p>can/should be noted with disposal dates in order to facilitate the disposal of records.</p>			<p>see if it would provide a replacement to the existing records management database that has not been updated with new records for several years.</p> <p>When evaluating the suitability of this system the issue of disposal dates will be taken into consideration.</p> <p><u>Audit Comment</u> At a meeting of CMT on 9/4/13 it was agreed that Civica be approached to build the successful delivery of the required records management outcomes into the next phase(s) of the Future Model project with a view to buying in expertise and appropriate software in the short to medium term. Medium to long term capacity and capability will be transferred into EBC resources in order to develop the response according to business need. It will also be necessary to have the policies and Retention and Disposal Schedule adopted before the dates could be input into the necessary module.</p>	<p>2 with some associated services.</p> <p>The Retention and Disposal Schedule has now been updated and completed so discussions will now take place to move this recommendation on.</p> <p>A meeting was held on 18th October 2013 to discuss issues and consider the next steps to progressing awareness of, and setting up systems to ensure that, records are adequately managed.</p> <p><u>Senior Head of Infrastructure.</u> Civica have demo-ed the module which seems fit for purpose. They have some follow up actions to confirm whether we can require all document types to have a disposal date when created and whether we can identify existing documents which do not have one.</p> <p><u>PARTIALLY ADDRESSED</u></p>	
<p>Serious consideration should be given to devising a naming convention for</p>	<p>High Three months</p>	<p>Responsible officer dependant upon outcome of first recommendation</p>	<p>A draft document naming convention has been written and it has been ascertained that it is compatible for use</p>	<p>Various updated and new policies have been written and taken to, and agreed by, the Equality and Fairness Steering Group. These were then</p>	<p><i>A supplier has been selected to provide this and a scoping meeting will be held within the next two to three weeks.</i></p>

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<p>electronic files (both corporate filing on W2 and other electronic files) which includes a year and that this is included in a policy as a system which must be followed. It will also be necessary to ensure that users are made aware of this.</p>			<p>with W2.Training and awareness of this will be built into the programme referred to above.</p> <p><u>PARTIALLY ADDRESSED</u></p>	<p>taken to and agreed by CMT. Included in the report to CMT was the document naming convention.</p> <p>The policies now need to be published and training organised. It was stated that further training for data stewards is intended to be carried out by the end of the year.</p> <p><u>Senior Head of Infrastructure.</u> This should be covered by the training for all staff.</p> <p>We also need support to devise a corporate folder structure</p> <p><u>PARTIALLY ADDRESSED</u></p>	
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