

Audit & Governance Committee 3 March 2021

Management Action Plan

| Item | Recommendation | Key Issues | Activity | Lead Officer | Target Start | Status |
|------|--|--|---|---|--|--|
| 1 | Full management response and action plan is prepared by the Corporate Director for Commercial Development, Assets and Investment and agreed by the Commissioning Officer, Chief Executive and Monitoring Officer | <ul style="list-style-type: none"> Lessons to be learnt | <ul style="list-style-type: none"> Management response and Improvement Plan approved by CEDR and shared with IC at their meeting on the 27th October 2020 | Corporate Director, Commercial Development, Asset and Investment CDAI | 21/10/20 | Complete |
| 2 | Address issues associated with procurement including guidance, management and governance | <ul style="list-style-type: none"> Badly written tender documents Lack of clarity over status of guidance notes & accuracy of governance Roles and responsibilities of procurement staff Accuracy of note taking and status of notes at clarification and evaluation stages Uncertainty over council policies High staff turnover and reliance on agency and contact staff | <ul style="list-style-type: none"> Counsel advice on note taking received and training of staff undertaken in June/July. Guidance has been updated to include need for all evaluators to sign conflict of interest statement at the start of all tender processes. Guidance has also been changed to remove element of destroying provisional scoring. Evaluation training has been updated and includes need for all evaluators to receive evaluation training. A training pack is being developed to be rolled out from Sept to include an Introduction to | CDAI | 31/12/20 31/12/20 31/12/20 | Complete Complete Complete |

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| | | | Procurement and Evaluation training. <ul style="list-style-type: none"> • Retention of records - tender record keeping was inconsistent. Guidance has been changed to remove element of destroying provisional scoring. • Purchase of eEvaluation software enforces a single auditable approach to evaluation, complete with version control • JDs reviewed and new structure developed with clear roles and responsibilities identified. • Additional support has been put into place by way of a training session and support for the Provision Cycle Programme. • A new permanent Head of Procurement and Contract Management starts in March. Recruitment continues to complete the full structure, with some key appointments made through February. Very targeted recruitment for remaining unfilled roles continues. • Competency & Training Framework established and was implemented | | 31/12/20 | Complete |
| | | | | | 31/12/20 | Complete |
| | | | | | 31/12/20 | Complete |
| | | | | | 31/12/20 | Complete |
| | | | | | 31/12/20 | In progress |
| | | | | | 31/12/20 | |

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| | | | for use from December 2020. This will allow staff and management to assess competencies and behaviours against agreed standards and determine where further training is required. | | | In progress – framework approved; workshops planned with staff in March 2021 once Hub & HESC structures are filled. Management assessing any skill gaps in the interim. |
| 3 | Management and oversight issues within the commissioning service (communities directorate) | <ul style="list-style-type: none"> • Lack of management oversight • Lack of clarity over roles and responsibilities • Lack of engagement between procurement and client side • No clear understanding of need – badly written tender documents | <ul style="list-style-type: none"> • A number of processes have been identified through the Provision Cycle Programme in need of improvement. Process improvements have been undertaken, with support from the Business Improvement Team, and new processes have been designed. Category management role clearly identified in new structure. | CDAI | 4/01/21 | Complete, and processes incorporated into a Handbook for use by all staff Category Managers in post |

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| | | | <ul style="list-style-type: none"> <li data-bbox="954 496 1420 759">• The proposed new design firmly puts Directors and appropriate officers within their scheme of delegation as accountable for procurement decisions, with support from the procurement hub. <li data-bbox="954 890 1420 994">• Focus on key behaviours and communication being embedded in new structure. | | <p data-bbox="1722 496 1832 523">4/01/21</p> <p data-bbox="1722 890 1832 917">4/01/21</p> | <p data-bbox="1890 496 2096 836">Complete, and ‘Introduction to the Provision Cycle’ sessions used to communicate roles & responsibilities.</p> <p data-bbox="1890 890 2096 1425">In progress. Behaviours have been the focus of all interviews for the Hub & HESC posts. Behaviours are part of the Competency & Training Framework and will be addressed in</p> |

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| | | | <ul style="list-style-type: none"> Clear lines of management and escalation triggers and routes built into JDs and new structure. Relationship management a requirement in JDs. | | 4/01/21 | <p>team meetings & 1:1s.</p> <p>Complete</p> |
| 4 | Governance, delegations and decision making, including key decisions (governance review) | <ul style="list-style-type: none"> Poor or no escalation of issues / problems Lack of clarity over decision making, particularly around member / officer interface Key decision being taken by officers under delegation but not involving PH's or CEX A £1m virement has to be approved by Full Council but a £1m settlement can be agreed by a single officer Confusion over what should be a cabinet decision and should be an officer decision | <ul style="list-style-type: none"> Review of scheme of delegation – Financial Scheme updated to reflect current senior leadership team Review of constitution – taking place Feb-March 2021: members consultation under way (Feb) and report scheduled for March 2021 Full Council CEDR protocol for briefing, CEX, Portfolio holder & members made clear Officer Scheme of Delegation being reviewed by Monitoring Officer | <p>Monitoring Officer</p> <p>Monitoring Officer</p> <p>CEDR</p> <p>Monitoring Officer</p> | <p>31/03/21</p> <p>31/03/21</p> <p>30/11/20</p> <p>31/03/21</p> | <p>In progress</p> <p>In progress</p> <p>Completed</p> <p>In progress</p> |

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| 5 | Briefing of Portfolio Holders (interface with members) | <ul style="list-style-type: none"> • Confusion over who should be briefing which Portfolio Holder • Lack of communication and coordination at Director level • Confusion over when to brief members and take to Informal Cabinet | <ul style="list-style-type: none"> • Portfolio Holder / Director briefing protocol to be agreed • CEDR & ELT regularly told to keep PH's informed and up to date • Weekly / fortnightly Portfolio Holder's briefing sessions held | CDAI | 30/11/20 | Protocol agreed by CEDR and regular briefing sessions in place |
| 6 | Briefing, engagement and escalation of issues to the Chief Executive (management escalations) | <ul style="list-style-type: none"> • Lack of escalation at the right time when problems emerge • Not keeping CEX informed • CEDR not being kept in the look by senior managers | <ul style="list-style-type: none"> • CEX expectations already made clear | CEDR | Ongoing | |
| 7 | Relevant external procurement expertise should be sought to ensure the procurement capacity in the organisation is effective and compliant. | <ul style="list-style-type: none"> • High reliance on agency / contract staff • Lack of capacity with right skills to meet demand | <ul style="list-style-type: none"> • PWC brought in to coordinate new operating model (Hub & spoke). Process redesign undertaken • Recruitment underway involving robust selection process to ensure skills and capacity in right areas • Communities redesign - Posts that are undertaking 'hub' | CDAI | 31/12/20 31/12/20 31/12/20 | Complete All Hubs posts expected to be filled by March 2021 Complete |

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| | | | <p>activities within Communities have been identified and those posts, or the budget for those posts, have been transferred to the Procurement and Contract Management hub to enable the hub posts to be filled</p> <ul style="list-style-type: none"> • Procurement and contract management activities that will be undertaken within Communities, will be designed and implemented, in consultation with the Procurement and Contract Management hub, in the next phase of Communities Redesign, which will be completed during the 21/22 financial year. Dates for this are still to be confirmed, as the Redesign programme is focussing initially on Directorate Support activity. | | 01/04/21 | Delayed |