

**Procurement of consultants – internal audit review  
Agreed action plan – November 2016**

Action Number	Item	Agreed Action	Stages/Progress	Priority	Responsible Officer	Timescale
1	Review of Contract Procedure Rules (CPRs)	<p>The Council's CPRs will be reviewed and updated to</p> <ul style="list-style-type: none"> <li>strengthen the section on waivers</li> <li>include the use of Dynamic Purchasing Systems in the section on using frameworks</li> <li>clarify the additional requirements when there is an incumbent supplier</li> <li>encourage the use of local suppliers and smaller businesses where appropriate to do so</li> </ul>	<ul style="list-style-type: none"> <li>Review CPRs</li> <li>Take to Audit and Governance committee for approval</li> </ul>	3	Finance & Procurement Manager	Complete
2	Delivery of comprehensive training programme.	<p>The Council will develop a mandatory training programme to ensure all staff aware of the procurement processes and rules.</p>	<ul style="list-style-type: none"> <li>Use of i-comply to inform all staff of the key rules</li> <li>Delivery of face to face training sessions – to be held on a monthly basis</li> <li>Work with comms team to add in bite sized items to Buzz</li> </ul>	3	Finance & Procurement Manager	<p>31<sup>st</sup> March 2017</p> <p>Nov 2016</p> <p>31<sup>st</sup> March 2017</p>
3	CMT to discuss procurement arrangements.	<p>Discussion paper to Council Management Team (CMT) highlighting current procurement activity.</p>	<ul style="list-style-type: none"> <li>Schedule regular attendance of the procurement team at DMTs</li> </ul>	3	Finance & Procurement Manager	To be included in DMT forward plans by 31 <sup>st</sup>

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		CMT discussed on 26 <sup>th</sup> October and agreed all the recommendations.	<ul style="list-style-type: none"> <li>CMT endorse support for the training programme</li> <li>CMT confirm support for the procurement team in its compliance function</li> </ul>			December 2016  Complete  Progress report to CMT in April 2017
4	Review of delegated authority levels.	Review of all staff authorised to spend on behalf of the Council to standardise the levels of authority for officers and reduce these where practical to do so.	<ul style="list-style-type: none"> <li>Implement standard authorisation levels across all tiers of management</li> <li>Review current authorisation activity</li> <li>Complete annual review of delegated authority levels</li> </ul>	3	Finance & Procurement Manager	31 <sup>st</sup> January 2017
5	Review of contract register for completeness.	Procurement Team will review all purchase orders to ensure all contracts recorded on the Contract Register.	<ul style="list-style-type: none"> <li>A monthly process is in place to keep this under review and identify historic issues that need to be resolved.</li> <li>Compliance issues will be routinely escalated to senior managers by the Finance &amp; Procurement Manager</li> </ul>	2	Finance & Procurement Manager	31 <sup>st</sup> January 2017
6	Improve retention of supporting	Procurement team looking at the Council's document management	<ul style="list-style-type: none"> <li>Email will be sent to all officers with delegated</li> </ul>	2	Finance & Procurement	31 <sup>st</sup> January 2017

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	documentation.	system to identify a process for ensuring procurement documentation retained centrally.	authority reminding them of the need to retain procurement route documentation and ensure an entry made in the Contract Register <ul style="list-style-type: none"> <li>A template document will be provided for officers to record key information</li> </ul>		Manager	
7	Improve retention of contract documents.	Procurement team will create central repository for holding all contract documents.	<ul style="list-style-type: none"> <li>Determine appropriate process for use of the Council's Document Management System</li> <li>Communicate process to all officers with delegated authority</li> </ul>	2	Finance & Procurement Manager	31 <sup>st</sup> January 2017
8	Reporting of identified breaches of Contract Procedure Rules.	Breaches and waivers are reported to the newly created Governance, Risk & Assurance Group (GRAG) on a quarterly basis. These meetings are minuted and actions will be agreed and monitored.	A forward plan of reports is in place for GRAG. Q1 breaches and waivers were reported to the September meeting.	3	Finance & Procurement Manager	Complete

### Priorities for Actions

Priority 1

A fundamental system weakness, which presents unacceptable risk to the system objectives and requires urgent attention by management.

Priority 2

A significant system weakness, whose impact or frequency presents risks to the system objectives, which needs to be

Priority 3

addressed by management.

The system objectives are not exposed to significant risk, but the issue merits attention by management.