

OOH Audit Report - Action Plan

Ref	Title	Assigned	Status	Due	Completed	Details	Completion notes
207	1 OOH Audit Procedures Manual	Adrian Erwood	Completed	12/01/21	02/08/22	An OOH Emergency Helpline Procedures Manual should be prepared by the Contract Manager and circulated to all relevant Officers Once developed this should be subject to a periodic review to ensure that it remains up to date ACTION Creation of a Procedures Manual and reviewed by the project team	Action Completed: Document Drafted
208	2 OOH Audit Development of a Risk Register	Adrian Erwood	Completed	12/10/21	02/08/22	The key risks associated with the OOH emergency helpline end to end service contract and the internal controls in place to manage these should be captured and documented including within Excelsis The Contract Manager should ensure that third parties are informed of any responsibilities they may have in managing risk and that this responsibility is documented within the Procedures Manual Likewise the key risks associated with the outsourced OOH repairs service should be captured ACTION A risk register will be developed to cover the OOH emergency call handling service and the OOH repairs service	Action Completed: Completed
209	3A OOH Audit Embed ongoing risk management and use of excelsis into contract management processes	Joe Gordon	Completed	30/09/2021	14/10/2021	The Head of Contract Services should ensure that ongoing risk management and the use of risk registers and Excelsis is embedded into the contract management process within Contract Services at the Contract Manager level where appropriate ACTION The Head of Contract Services will reiterate his expectations for the capture assessment and monitoring of risk to all staff across Contract Services This will help to ensure that there is a consistent approach to risk management taken across the department and for all services contracts areas	Action Completed: Action now forms part of the provurement and contract management process
210	3B OOH Audit Update Exelsis to capture key risks with OOH Contract	Jon Priest	Completed	10/01/21	10/08/21	of the implementation of Recommendation 2 H to ensure that key risks associated with the OOH emergency helpline are visible to all officers across the Council This will aid in improving the visibility of the OOH emergency helpline as a Council wide service	Action Completed: This has been added into Excelsis and the system has been reviewed
211	4 OOH Audit Review of reporting and stakeholders on the OOH Contract	Adrian Erwood	Completed	12/01/21	12/07/21	The Contract Manager and Head of Service should agree the form frequency and content of reporting on the OOH emergency helpline call handling contract The wider recipients of any reporting other key stakeholders should also be identified The Procedures Manual should contain guidance on the agreed reporting arrangements and report template s ACTION There are existing reporting methods used elsewhere in Contract Services to monitor contracts and contractor performance These will be extended to the OOH call handling contract and the OOH repairs service The relevant guidance on reporting will be documented incorporated within the Procedures Manual	Action Completed: Reporting inclusion Recommendations added into manual
212	5 OOH Audit Key objectives to be identified and documented	Adrian Erwood	Completed	12/01/21	12/07/21	The key objectives of the OOH emergency helpline call handling contract and service should be identified and documented These objectives should be considered when preparing a risk register ACTION	Action Completed: Policy handbook inclusion Added into the policy handbook
213	6 OOH Audit Review Service Requirements Responsibilities and expectations with MD Group	Adrian Erwood	Completed	11/01/21	24/11/2021	Service requirements responsibilities and expectations for the OOH repairs service should be reviewed with MD Group This may involve drafting a clear and comprehensive service specification for MD Group to refer to and to be held to This should build on the service requirements agreed to with the Head of Contract Services pre Christmas ACTION Conduct review into MD s performance Draft clear and comprehensive service specification to manage performance Review alternative options for delivery of the OOH repairs service	Action Completed: Contract management Service requirements and responsibilities outlined with MD and new supervisory lead. Contract management proforma converted to standard SDC contract management template and record keeping going forward.
214	7 OOH Audit Review KPI for the OOH repairs service	Adrian Erwood	Completed	11/01/21	24/11/2021	The flowcharts provided to Civica should contain clear guidance on setting customer expectations this is particularly important where Civica pass the call over to another contractor to resolve For example flowcharts covering repairs by MD Group should refer to the four hour deadline for attendance by the contractor and repairs being completed Civica should advise customers that if their repair is not addressed in this time they should call back Civica can then escalate the matter This four hour deadline will constitute a KPI for MD Group or any other OOH repairs provider that Civica can report against ACTION Any potential KPIs for the OOH repairs service will be considered in particular those that could capture non attendance or lack of timely attendance repeated customer call backs	Action Completed: KPI review Processes reviewed and changes adopted. KPI will form part of contract management document and contract reviews.
215	8 OOH Audit Review OOH call centre flow charts	Adrian Erwood	Completed	11/01/21	24/11/2021	The Contract Manager should review all flowcharts in consultation with Civica to ensure that these reflect the actual approach taken by Civica In particular the Contract Manager should review the flowcharts covering repairs to ensure that there is no ambiguity in who should be contacted when and how ACTION Flowcharts will be reviewed and redistributed Civica will be consulted as part of the review process	Action Completed: Flow charts Flowcharts and processes reviewed, changes and clarifications resolved and adopted.

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216	9 OOH Audit Review OOH call centre escalation flow charts	Adrian Erwood	Completed	11/01/21	24/11/2021	The Contract Manager should ensure that where Civica are required to contact another contractor or third party the flowcharts clearly set out the escalation procedure that should be followed If this is exhausted the flowchart should clearly direct Civica to an appropriate on call Council officer this may be the initial escalation procedure in some cases ACTION Flowcharts will be reviewed and escalation procedures clearly set out as part of the new format	Action Completed: Flowcharts Service and flowcharts reviewed in line with changes adopted for Civica and MD. Escalation rota expanded and back up options for OOH escalation implemented.
217	10A OOH Audit Acceleration of the insourcing of OOH repairs	Adrian Erwood	Completed	12/01/21	12/07/21	for OOH heating repair and boiler repair skills held by the in house team At present this is not currently part of the service provided by MD Group and has not yet been procured in its own right In advance of the winter period the Council must ensure that there are robust reliable and adequate arrangements in place to provide OOH heating repair and boiler repair services for its tenants ACTION Ensure robust reliable and adequate heating engineer boiler engineer coverage in place by December 2021	Action Completed: Heating escalation Lead taken by Ashley Heal and John Brown over escalation
218	10B OOH Audit Insourcing callout employee terms	Joe Gordon	Completed	10/01/21	27/05/22	The Head of Contract Services should agree a deadline for resolving the outstanding issues on employee terms call out and overtime pay with HR This deadline should ideally be no later than 1st October 2021 to allow in sourcing to progress in a timely manner ACTION The Head of Contract Services will identify the key barriers to in sourcing the OOH repairs service and remedy these as soon as practicable This will ensure that in sourcing can proceed without there being any unresolved issues to impede progress The intention is to complete the in sourcing of the OOH repairs service by March 2022	Action Completed: New rates of pay are being trialled with operatives
219	11 OOH Audit Review roles and responsibilities for OOH Contract Manager and Repairs Contract Manager	Adrian Erwood	Completed	12/01/21	12/07/21	Manager for the OOH repairs contract is not clear The Contract Manager for the OOH call handling contract completes some duties that should fall within the remit of the Contract Manager for the OOH repairs contract The roles responsibilities and obligations of the two separate Contract Managers should be agreed and documented ACTION Clarify and document within the Procedures Manual	Action Completed: Roles and responsibilities clarified in document Roles and responsibilities clarified
220	12 OOH Audit Identification of service leads and their roles responsibilities and obligations	Adrian Erwood	Completed	12/01/21	12/07/21	Service Leads should be identified and their roles responsibilities and obligations formally documented in the Procedures Manual Escalation procedures should be detailed for a lack of required engagement ACTION Service Leads will be identified and their roles responsibilities and obligations agreed and documented in the Procedures Manual	Action Completed: Service Leads Added into the policy document
221	13A OOH Audit Contract extensions forms Service Level	Joe Gordon	Completed	30/10/2021	19/01/2022	The Contract Extension Form also a part of the new CMF is a key piece of evidence to be retained as part of an audit trail The statements made in support or otherwise of a contract extension should be accurate and based on objective data The authoriser in this case the Head of Contract Services should on a case by case basis review supporting evidence to gain assurance that any assertions on the Contract Extension Form are fair and accurate There should be clear expectations set out within Contract Services for a timely review of performance well in advance of a contract s expiry date the expiry of the initial term In this case there was no option other than an extension due to poor planning A contract extension should not be viewed as a formality The Council has an obligation to pursue value for money and ensure that contracts meet the needs of the relevant stakeholders ACTION Ensure that contract extension form process is performing as expected within service and liaise with Senior Policy Governance Officer to ensure that this aligns with corporate expectations Ensure that satisfactory performance levels are documented prior to contract extensions	Action Completed: Closed by Jon PRIEST on behalf of the HOS Joe GORDON. Contract extensions reviewed in service by the HOS - Joe GORDON. Corporate are reviewing the framework as part of a wider review . The OOH contract extension form has now been superseded due to the fact that the supplier has served notice of termination of the contract. Contract extensions reviewed in service by the HOS - Joe GORDON. Corporate are reviewing the framework as part of a wider review . The OOH contract extension form has now been superseded due to the fact that the supplier has served notice of termination of the contract.
222	13B OOH Audit Contract extensions forms Corporate Level	Sarah Turner	Completed	31/12/2021	02/02/22	The Contract Extension Form also a part of the new CMF is a key piece of evidence to be retained as part of an audit trail The statements made in support or otherwise of a contract extension should be accurate and based on objective data The authoriser in this case the Head of Contract Services should on a case by case basis review supporting evidence to gain assurance that any assertions on the Contract Extension Form are fair and accurate There should be clear expectations set out within Contract Services for a timely review of performance well in advance of a contract s expiry date the expiry of the initial term In this case there was no option other than an extension due to poor planning A contract extension should not be viewed as a formality The Council has an obligation to pursue value for money and ensure that contracts meet the needs of the relevant stakeholders ACTION The P G Team will incorporate the requirement to evidence satisfactory levels of performance as part of the contract extension form in the CMF This will also be incorporated into the subsequent training	Action Completed: Completed on behalf of Sarah Turner Senior Policy and Governance Officer Agreed. The P and G Team will incorporate the requirement to evidence satisfactory levels of performance as part of the contract extension form in the CMF. This will also be incorporated into the subsequent training. The contract management framework has been updated to reflect this recommendation. The revised framework will be approved by A&S Committee at its meeting in February 2022. Training on the CMF has started with P&G team attending team meetings; an online procurement and contract management module will be added to the corporate training modules on MeLearning when the current upgrade of this system is completed
223	15 OOH Audit Documentation tracking	Adrian Erwood	Completed	12/01/21	12/07/21	The Contract Manager should prepare an OOH Call Handling Materials Tracker to ensure an adequate level of control over the call handling materials in circulation This Tracker should also address any rotas other lists provided to Civica at a defined frequency if a rota appears on a flowchart this should be reflected on the Tracker ACTION A Tracker to monitor the call handling materials flowcharts for example in circulation will be rolled out alongside the Procedures Manual	Action Completed: Material tracker Tracker to be added to policy doc & folders

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224	16 OOH Audit Call Handling Material Templates	Adrian Erwood	Completed	12/01/21	12/07/21	consistent approach between departments This should include templates and required elements This guidance should ensure that Required Actions Following the Call are present on each flowchart See Appendix G Appendix 2 All call handling materials should be subject to Version Control and clearly labelled with an ID Version Number Preparer and Date of Next Review All call handling materials should be reviewed after this guidance is finalised This should be combined with the roll out of the Tracker above to ensure that they meet the new requirements for format and content and are up to date refer to current rotas for example The Contract Manager should ensure that any missing materials gaps or any duplications are addressed see Finding 3 4 vii and viii above The missing materials highlighted above are not exhaustive and are intended to provoke some renewed consideration of Civica s Council wide role and their ability to signpost elsewhere The Contract Manager should coordinate with Service Leads to ensure that Civica are adequately prepared Civica may offer some input into this process ACTION The guidance for the format of all call handling materials will be set out in the Procedures Manual This will incorporate an ID Version Number Preparer Date of Next Review and Required Actions Following the Call All flowcharts and other materials in circulation will be modified to fit this guidance logged on the Tracker and rolled out to Civica The Operations Manager will liaise with Civica and with officers across the	Action Completed: Version control Tracker developed in line with template and policy doc provided
225	17 OOH Audit Review CIVICA's role in flood management strategy	Adrian Erwood	Completed	12/01/21	02/08/22	Civica s role in the Council s broader flood management strategy should be clearly defined and documented Civica should be equipped with the necessary materials to undertake their role in managing flooding calls enquiries The guidance on the Council s website should be reviewed to ensure that it is still up to date This will ensure that Civica is signposting customers to suitable guidance ACTION The Operations Manager will liaise with the Environmental Health team to ensure that Civica s role in the Council s broader flood management strategy is clarified documented and shared with Civica The flowchart s provided to Civica will be updated to reflect the information obtained There will be adequate guidance for instances of flooding for both tenants and non tenants the wider public	Action Completed: Completed
226	18 OOH Audit Review Contract Management Framework	Sarah Turner	Completed	31/12/2021	02/02/22	The Contract Management Framework the Contract Management Policy should be updated to include guidance on Council wide joint services This should reiterate the minimum expectations for coordination and cover escalation procedures ACTION P G Team will incorporate guidance in the CMF relating to council wide joint contracts	Action Completed: Completed on behalf of Sarah Turner - The contract management framework has been updated to reflect this recommendation. The revised framework will be approved by A&S Committee at its meeting in February 2022.
227	19A OOH Audit Document Roles and Responsibilities of Contact Manager and Owner	Adrian Erwood	Completed	12/01/21	12/07/21	The roles and responsibilities of the Contract Manager and Contract Owner should be documented within the Procedures Manual Following the roll out of the Contract Management Framework the Contract Manager should update the Contracts Register to reflect the correct Contract Owner the Head of Contract Services and complete a Contract Management Plan	Action Completed: Role clarification Included within Procedures Manual distinction between roles.
228	19B OOH Audit Guidance Roles and Responsibilities of Contact Manager and Owner	Sarah Turner	Completed	31/12/2021	02/02/22	P G to update the procedure guidance to ensure the procurement contract management and contracts register have the same defined roles	Action Completed: Completed on behalf of Sarah Turner - Senior Policy and Governance Officer Agreed. P and G to update the procedure guidance to ensure the procurement, contract management and contracts register have the same defined roles. This is underway and will be completed by 31 January 2022
229	20 OOH Audit Document Performance Management Arrangements in the Procedures Manual	Adrian Erwood	Completed	12/01/21	12/07/21	The performance management arrangements for the OOH call handling contract should be clearly set out in the Procedures Manual This should address the Contract Manager s approach to monitoring and collating KPIs particularly over the longer term The Council should review Civica s KPIs to ensure that they reflect a challenging but achievable level of performance If a KPI is to be changed this should be completed via a formal Contract Variation ACTION Civica s KPIs will be reviewed to ensure that they are challenging but achievable The rollout of their new telephony system may allow new KPIs to be identified which will be actioned in line with the requirements of the CPPRs The process for managing Civica s performance will be documented in the Procedures Manual	Action Completed: Performance monitoring Added within the manual

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230	21 OOH Audit Document process for managing Tamar system in Procedures Manual	Helen Coughlan	Completed	12/01/21	12/03/21	The processes for managing the Tamar Telecommunications account should be reviewed and then documented in the Procedures Manual In particular the controls in place for ensuring timely payment to Tamar Telecommunications should be documented This should address the risk of a missed invoice or late payment and potential charges or disconnection Access to the Tamar Telecommunications account should be changed or expanded to include the Contract Manager and or Contract Owner this may need to be achieved using a generic login This should be securely stored shared with only authorised users permitted access to the portal The users with access to the portal should be documented within the Procedures Manual and any BCPs ACTION Access to the Tamar portal will be modified and the process for ensuring the timely payment reviewed The controls in place for managing the risk of late payment will be documented on the OOH risk register and in the Procedures Manual The processes for managing the Tamar service will be documented in the Procedures Manual The new login access information will be securely held outside of the Procedures Manual and shared only with designated officers The officers who will be allowed access will be listed in the Procedures Manual	Action Completed: completed Tamar Process has been processed Maps and saved to Process map folder TAMAR Account has been transferred into Account name of Helen Coughlan, log on details have been assigned to the portal for Helen Coughlan to log into TAMAR Portal... Email sent to Jo White and Tara Wheeler requesting account info and login and password details
231	22 OOH Audit Identify required areas and create BCP within procedures manual	Helen Coughlan	Completed	26/11/2021	18/01/2022	The Contract Manager in consultation with other key stakeholders should identify the areas of the OOH emergency helpline service that require business continuity planning to be considered ACTION A BCP should be created and contained within the Procedures Manual The OOH call handling process including the OOH repairs service will be considered from end to end and a business continuity plan BCP developed This will be documented in an appropriate location and reviewed at least annually	Action Completed: completed Tamar Process has been processed Maps and saved to Process map folder TAMAR Account has been transferred into Account name of Helen Coughlan, log on details have been assigned to the portal for Helen Coughlan to log into TAMAR Portal Email sent to Jo White and Tara Wheeler requesting account info and login and password details A WhatsApp Group has been created for all OOH's on Call Officer, to provide BC in the event of a large scale emergency requiring additional and multi service support Have met with Emergency Planning how have there own process, process to be documented and added to Procedure Manual as a point of reference Current Tenant Services BCP received though needs reviewing and updating. Last updated March 2020
232	23 OOH Audit Contract Management Framework guidance for Service Failures	Sarah Turner	Completed	31/12/2021	02/02/22	The Contract Management Framework should contain guidance and principles for conducting service failure reviews for contracted out services Any Action Plans produced following such reviews should ensure consideration of root causes governance risk and control ACTION The CMF will be updated to incorporate clear guidance on reporting service contract failures	Action Completed: Completed on behalf of Sarah Turner - The contract management framework has been updated to reflect this recommendation. The revised framework will be approved by A&S Committee at its meeting in February 2022.
233	24 OOH Audit Contract Management Framework service failure reporting	Sarah Turner	Completed	31/12/2021	02/02/22	The Contract Management Framework should set clear guidelines for reporting on service failures This should also address the manner and frequency by which updates are provided ACTION The CMF will be updated to incorporate clear guidance on reporting service contract failures	Action Completed: Completed on behalf of Sarah Turner - The contract management framework has been updated to reflect this recommendation. The revised framework will be approved by A&S Committee at its meeting in February 2022.
234	25A OOH Audit Setting of Annual Review Date for OOH Contract and OOH Repairs Contract	Joe Gordon	Completed	30/09/2021	20/10/2021	The dates for the Annual Review of the OOH emergency helpline call handling contract and the OOH repairs service and contract should be confirmed ACTION There are existing expectations and processes within Contract Services for reviewing contracts on the anniversary of their start date though this has clearly fallen through for this contract The Head of Contract Services will reiterate to all Contract Managers the existing process and his expectations for managing annual reviews of service providers	Action Completed: Completed on behalf of Joe GORDON - See action notes Joe GORDON has communicated with the asset manager Tara SKIDMORE regarding the annual review process. This is currently documented within the contract review meeting minutes and captured on the contract register spreadsheet. To make the process more visible and automated there is a plan to load the requirements into My Compliance management . New action for this task has been created #ACTION 245 https://my-compliance.co.uk/actions/view/187010

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235	25B OOH Audit Setting of Annual Review Date for OOH Contract and OOH Repairs Contract	Adrian Erwood	Completed	11/01/21	24/11/2021	The dates for the Annual Review of the OOH emergency helpline call handling contract and the OOH repairs service and contract should be confirmed ACTION The dates for the annual reviews of Civica and MD Group will be agreed For MD Group this will be merged with the action for Recommendation 6	Action Completed: Date agreed Annual review date to be 1st December.
236	25C OOH Audit Contract Management Framework Annual Reviews and lessons learned	Sarah Turner	Completed	31/12/2021	02/02/22	The dates for the Annual Review of the OOH emergency helpline call handling contract and the OOH repairs service and contract should be confirmed ACTION P G to incorporate in the CMF that annual reviews and lessons learned should be carried out by contract managers	Action Completed: Completed on behalf of Sarah Turner - The contract management framework has been updated to reflect this recommendation. The revised framework will be approved by A&S Committee at its meeting in February 2022.

OOH Audit Report - Uncontrolled Document

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