

## EYHWB Audit Report – Summary of improvement actions – January 2020

The table below gives an update against the recommendations contained within the Final Audit Report 0232014R001 and should be read in conjunction with the latest Audit Committee reported dated 28 January 2020.

Rec No.	Recommendation	Actions undertaken as of 7 <sup>th</sup> January 2020
01	Whilst it is acknowledged that a "core" of staff will need to consistently sit on the Programme Board, the mix of staff should be reviewed to ensure that appropriate members of staff from the different service areas, with the required knowledge /expertise, attend as and when required.	The EYHWB Programme Board consists of key officers from EdI, property services, Early Years, BCC Comms, contracts and legal services whom attend as subject matter experts and provide highlight reports on programme activity, whilst monitoring the strategic and operational delivery of the contract.
02	A Contract Management Plan (covering the key areas detailed in the Sheffield Toolkit) should be in place for all future contracts.	A Contract Management Plan is in place and updated by the EYHWB Contract Manager and complies with guidance provided in the Sheffield Toolkit.
03	The Corporate Procurement Services (CPS) Supply Chain Methodology should be used for all future contracts.	Supply chain methodology is in place and close working arrangements with CPS are in place to ensure methodology is used in this and all future contracts.
04	When transferring staff to a new place of work, additional controls must be in place to account for all staff to ensure they are at their correct place of work.	94 staff were successfully TUPE transferred to BCHC on the 1st January 2020. Prior to this period the council maintained a close oversight with HR colleagues and officers in Early Years to oversee that monthly employee reports are being shared by HRBP to each of the Partners which captures staffing data including resignations, changes to hours, moves, maternity, LTS, Etc.
05	An ICF is established as a matter of urgency. This must have a clear remit, documented Terms of Reference (TOR), clear lines of responsibility, clear reporting lines and a documented escalation process for when performance is below standard.	Contract governance is overseen through a monthly Contract Review meeting where performance is closely monitored by the ICF Commissioning team in the Education & Skills Directorate.
06	The Project Board should remain in place and operational during the early stages of a contract, (e.g. first six months of the contract) to oversee and help embed its initial implementation.	The EYHWB Board continues to meet quarterly and has worked to oversee the operational aspects of the programme and ensure work is closely monitored. The group receive regular highlight reports on progress from officers.
07	Any recommendations made in a closedown report of a Programme Board should be implemented to help ensure the contract's successful implementation. Initially this could be monitored	The EYHWB Board oversees the operational aspects of the programme and its implementation. The group receive regular highlight reports on progress from officers to ensure all closedown activity is

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	by the Programme Board as part of its hand over during the initial stages of the contract.	undertaken and completed.
08	Wherever possible contracts should not start unless there is an ICF or there is existing capacity in place within the service to monitor and manage it. If this is not possible, the Programme Board should undertake this role until the board has closed down or the ICF is in place.	The EYHWP programme Board in conjunction with CPS has ensured and overseen the ICF arrangements are in place for this contract, and that this will be part of the planning for all future contracts.
09	The review of the existing KPIs should be completed as soon as possible so that performance / service delivery of BCHT and its partners can be measured effectively.	The Performance Framework is in place and through contract review meetings is carefully monitored. There are some KPIs that are yet to be reported and these will be incrementally added to the monthly reporting process from January 2020.
10	The contract and its terms and conditions should be amended so that it clearly specifies which party is liable to pay sick pay.	94 staff were successfully TUPE transferred to BCHC on the 1st January 2020 so this is no longer relevant. Prior to this sick pay was addressed in the amended secondment agreement where it relates to BCC seconded staff. The provider was liable for any sick pay when it relates to other staff.
11	DBS checks should be undertaken and kept up to date for all staff whose role requires one. Where this is not possible, a risk assessment should be undertaken and short term compensating controls such as shadowing an employee should be put in place until the DBS disclosure has been undertaken.	94 staff were successfully TUPE transferred to BCHC on the 1st January. DBS checks are being completed prior to the transfer of all 94 council staff on 1 January 2020. These were done 12 months ago but in order to ensure all staff are registered on the DBS ID Checker service these have been redone as part of the current transfer process.
12	Sickness recording and monitoring systems should be in place when the contract starts or at least within 1 month of the contract start date.	Sickness monitoring was in place and led by staff from BFS at an operational level and supported by the council since the start of the secondment. Nominated HR officers had been inputting absence data on behalf of managers. An LTS/Maternity report was produced on a monthly basis which is shared with Partners and BCC Finance colleagues so that Partners were not being charged incorrectly for these secondees. Amended secondment agreements were produced and agreed with BCHCT and its sub-contractors that reflected these arrangements.
13	A review of the contract should be undertaken to establish whether alternative savings can be identified to offset any that will not be delivered due to the issues and delays with the mobilisation of the contract.	CPS undertook a contract review, and this is currently in the process of sign off with both BCHCT and BCC legal teams. Alongside this work and as part of the monthly contract review meetings the performance of contract has been closely monitored to ensure value for money.

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14	Bi-monthly reports should be produced and used to monitor progress on delivering forecast savings. If forecast savings are not being achieved, then the reasons why need to be established and wherever possible corrective action taken.	Regular reports are produced and monitored as part of the contract management process. Where savings can be achieved these have been identified and agreed.
15	Budget monitoring systems should be in place before the contract start date or no later than the end of the first month after the contract start date. This should include; the allocation of budgets to individual budget holders; the production of profiled individual monthly budget monitoring reports; and regular monitoring systems to ensure spending stays within the available budget and any relevant savings targets are being met.	Budget monitoring is undertaken as part of the contract management process. Where savings can be achieved these have been identified and savings targets met.
16	All leases and their commercial terms and conditions should be agreed and in place prior to the contract starting.	The leases are awaiting sign off with BCHCT. This has been delayed and is being urgently followed up by the council to ensure they are completed by 31 March 2020.
17	When a contract requires services to be delivered from a City Council property, the decision as to which property these will be delivered from should be made by the City Council and not by the contractor. This will ensure both the condition and suitability of the property is sufficiently adequate to deliver the services.	EdI and Early Years have established a cross-service group that looks at the estates portfolio and arrangements are now in place to ensure decisions about the use of buildings are made by the council and this is supported by the new ICF team established to oversee commissioning and contracts.
18	A wider review of the properties where there has been a change in the type / level of services (e.g. outreach rather than full-day) should be undertaken to determine the feasibility of keeping these sites open and operational.	The contract manager has undertaken a full review of the buildings to be utilised as part of the EYHWB contract and agree a Final estates list which includes the operational status of these sites. This will enable informed discussions to take place with the DfE.
19	The risk of grant claw back should be investigated and the potential level of exposure quantified prior to any decision to change the use of a property.	This has been undertaken now that the final list of properties in use by the contract has been established. Conversations with the DfE will be taking place in January 2020 to agree any deferral conditions and any potential liabilities should they arise. Work has been undertaken on GIAS system to close and update details for children's centres.
20	An up to date asset condition survey should be undertaken early within the contract, to allow sufficient time for any necessary work to be undertaken and establish which budget will fund this work.	EdI commissioned an asset condition survey for all the properties utilised by the contract. A copy of this has been requested.
21	The dispute over the services (e.g. hub or outreach) and the relevant charges for the services	Final consultation outcomes established the status of sites where changes were proposed. These have

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	provided at Storywood and Newhall should be resolved as soon as possible. As not to do so is adding to the budget pressures as well having adverse implications on the delivery of services which could lead to potential reputational damage.	now been resolved and a final list of sites and their operational status confirmed and agreed.
22	Those sites / buildings where multiple services had been provided by other parties prior to this new contract (e.g. Midwife service) should be reviewed to ensure that the service providers are now being appropriately charged.	EdI has undertaken a review of multiple-occupancy sites and where necessary the appropriate hire charges have been proposed and agreed. In some case occupiers have now exited properties and as part of the cross-service estates group led by early Years and EdI they are reviewing the current usage.
23	A long term plan should be established to determine what should be done with those buildings which are under utilised as they are only providing out-reach services.	This is being considered as part of the review of the estate's utilisation by the cross-service group led by Early Years and EdI. This work links to the conversation taking place with the DfE planned for January 2020.