

**Contract Monitoring Protocol**  
**Suffolk Adult Social Services 2013**

## **Introduction**

This protocol describes how Suffolk County Council (SCC) Adult and Community Services (ACS) and Commissioning and Market Development (CMD) intends to manage and monitor contracts held by the department. It is intended as a practical guide to carrying out every aspect of contract monitoring.

As part of restructuring, the department has realigned the teams to form a Contracts Monitoring (CM) Team. This new team has brought together several areas of work that used to operate in relative isolation to each other. As a result of this, it has been appropriate to review the contract monitoring mechanisms to ensure consistency and coverage across the department. Effective contract monitoring will also aid us to gain an in depth understanding of how services operate. This in turn can inform the process of commissioning, de-commissioning and the remodelling of services in partnership with supplier organisations.

Whilst the focus of the process is to ensure contract compliance, it is also an opportunity for the service provider to raise issues and/or concerns they may have about the service and look at joint ways of improving service performance, as soon as they arise.

## **Objectives**

This Contract Monitoring protocol aims to ensure that services funded by ACS:

- Allow risk to be monitored, managed and action to be taken to mitigate risks.
- Comply with the main service delivery terms.
- Deliver high quality services that reflect good practice.
- Achieve successful outcomes for service users and meet service users' needs.
- Meet agreed key performance targets.
- Provide information that informs wider commissioning and procurement activity. It may demonstrate unmet need or new ways of deploying resources.
- Ensure value for money.

This is to be achieved by:

- Working to a single, consistent, risk weighted contract monitoring protocol for the department taking into account the number of contracts and the available staff resources.
- Maximising the transfer of skills and knowledge within the team.
- Planning the monitoring cycle according to the resources currently available to the department, effectively matching monitoring effort to risk.
- Establishing clear boundaries for contract monitoring.
- Ensuring procedures are clearly defined and relevant.
- Having clear systems and procedures for gathering, collating and evaluating information in order to understand how well services are performing.

## **Scope**

All suppliers of care and support services of ACS are to be considered. However, there are specific arrangements for certain contracts that will need to be taken into account. These include:

- **Care Homes** - Access and Partnerships within ACS have responsibility for monitoring the individual service user residing at a particular home, but not for monitoring the care home itself. The CM Team will therefore have a responsibility for the overall monitoring of these care homes, situated within Suffolk, if they meet our monitoring criteria detailed within this protocol. Monitoring should be undertaken in liaison with relevant **TQR** workers.
- **Individual Placements** – these may be legacy agreements in care homes and with domiciliary care providers where the department no longer holds a contract. They may alternatively be individual purchases where customers have exercised choice and used their personal budget.
- Access and Partnerships again have responsibility for monitoring the individual service user residing at a particular home or receiving a legacy home care service. The CM Team will, as above, have a responsibility for the overall monitoring of these care homes and domiciliary care providers if situated within Suffolk and if they meet our monitoring criteria detailed within this protocol. As above, monitoring should be undertaken in liaison with relevant Access and Partnerships.
- **Role of Commissioners** – some contracts/services will continue to be monitored by the Commissioners. This will be indicated against the contract ID.
- **Other independent Monitoring** – for example there is a CSHS Code of Practice which some supported housing services (usually sheltered) sign up to. This could potentially be used to passport some of our contracts through our monitoring procedures.

The CM Team will maintain a spreadsheet of all Suppliers and clearly indicate whether each Supplier is monitored directly by the team, by another team or worker within ACS, or by an external agency. This will influence the level of monitoring needed by the CM Team. As part of our monitoring process the responsible Contracts Officer can request evidence from the Supplier organisation of monitoring completed by a 3<sup>rd</sup> party (accredited industry body and/or regulatory body) and the outcome of this monitoring. Each Contracts Officer is responsible for updating the information on the spreadsheet relating to the Supplier organisation for which they have lead monitoring responsibility.

## **The Process**

### **Overview**

Each supplier organisation will have a Contracts Officer (CO) allocated to them (the responsible CO). This Contracts Officer will have lead monitoring responsibility for their particular suppliers. Each Contracts Officer will be allocated a range of suppliers, in terms of value, risk and service types, to ensure a balanced workload.

### **Stage 1 – Determine the level of monitoring**

The level of monitoring for a particular supplier needs to be proportional to the assessed risk of that supplier and the contracts it holds with the Department. The responsible CO will determine the level of risk using the CM Team Risk Framework (**see appendix 1**). We will focus any additional monitoring where we assess that there is additional or higher levels of risk.

To determine a supplier's risk rating we will take into account the following:

- Value of the contract(s) held by a supplier;
- Contractual and Due Diligence status: Whether signed and current contracts are in place;
- Performance against the contract(s): This may include looking at the level of complaints, safeguarding alerts and for specific organisation; performance against targets;
- Organisational risk: Suppliers will be classified according to the complexity of the services they deliver, the possibility of alternative supply and how generic or specialist the service is.

We will also look at specific areas of concern, if the Supplier scores low in most areas of the risk matrix apart from one, then the responsible CO will focus on that particular issue when they complete the monitoring of that supplier.

## Review of Risk:

The responsible CO will review the risk weighting of their allocated suppliers annually. The reasons for this are:

- **Risks may change over time:** a new supplier is no longer new after providing services for six months; if the department stops receiving complaints about a particular organisation its risk assessment may reduce.
- **Reviewing risk assessments enables you to judge whether they were accurate:** have the suppliers we have assessed as low risk delivered good performance? If a supplier's risk assessment was inaccurate, were the reasons for this predictable or were they unexpected (e.g. unplanned commercial takeover, sudden loss of key personnel)? How many high-risk assessments have turned out not to be so, and why?

Using the CM Team Risk Framework scoring mechanism the responsible CO will determine whether an organisation falls within risk weighting band A, B, C or D.

## Risk Weighting Band “A” (High Risk)

Organisations falling within this band will have a score of between 14 and 17 once all risks have been considered. This may include a combination of the following:

- High value (over £600k).
- Considerations regarding suppliers' performance.
- Contractual status of no due diligence and or no signed contract.
- High organisational risk.
- Services provided are very complex.

Organisation given this risk rating will receive the highest level of monitoring. This will entail:

- The responsible CO will conduct regular (at least annual) and timely assessment of contract monitoring information using the Monitoring Return form and taking into account any additional information collated relating to that supplier over the preceding year such as performance indicator returns or complaints.
- The responsible CO will undertake at least four visits a year to the organisation to monitor performance – this will include visits to the particular services managed by the organisation deemed to be the highest risk.
- Monitoring visits could include specialist assessments, for example, Health and Safety assessments.
- At least five days of officer time will be allocated per each Band A organisation.
- In addition, such organisations delivering to the requirements of complex contracts will in many cases require day-to-day contact with the Contract Monitoring Team, and will require distinct Contract Governance arrangements, which could include an Annual Contract Review Meeting, regular Development Board Meetings at senior officer and management level, and regular Business User Group Meetings to ensure appropriate service delivery and best value. This will certainly be the case in the early days of a contract arrangement.
- Such organisations will also in many cases require ongoing additional dedicated arrangements within the Contract Monitoring Team to ensure that best value from the contract is maximised.

### **Risk Weighting Band “B” (Medium Risk)**

Organisations falling within this band will have a score between 10 and 13 once all risks have been considered. This may include combination of the following:

- Medium value (£100 – 600K)
- Recent moderate issues of under-performance.
- New contracts
- Medium organisation risk.

Organisation given this risk rating will received a moderate level of monitoring. This will include:

- The responsible CO will conduct an annual assessment of contract monitoring information using the Monitoring Return form and taking into account any additional information collated relating to that Supplier over the preceding year such as performance indicator returns or complaints.
- The responsible CO will undertake an annual visit to the organisation to monitor performance.
- 2.5 days of officer time will be allocated to each band B organisation.
- Additional resources and monitoring time may be allocated as required.
- Additional arrangements may be required to ensure best value from the contract.

### **Risk Weighting Band “C” (Low Risk)**

Organisation falling within this band will have a score between 7 and 9 once all risks have been considered. This may include a combination of the following:

- Low value (£50 – 100k).
- No recent concerns regarding performance.
- Positive outcomes from previous monitoring reviews.
- Non-statutory services provided.
- Low organisational risk.

Organisations given this risk rating will receive a low level of monitoring. This will entail:

- The responsible CO will conduct an annual assessment of contract monitoring information using the Monitoring Return and taking into account any additional information collated relating to that supplier over the preceding year such as performance indicator returns or complaints
- There will be no planned visit to these suppliers but one day of officer time will be allocated per organisation.
- Additional resources and monitoring time may be allocated as required.

Additional arrangements may be required to ensure best value from the contract.

### **Risk Weighting Band D (Nil Monitoring)**

Organisation falling within this band will have a score between 4 and 6 once all risks have been considered. This may include a combination of the following:

- Low value (£1 – 50k).
- No recorded concerns regarding performance.
- Service provided is very simple in nature.
- Low organisation risk.

Organisations falling within this risk band will not receive any formal monitoring, unless concerns are brought to the CM Team's attention, in which case, appropriate contract monitoring resources will be allocated as required.

## Stage 2 – The Monitoring Return

The responsible CO will produce a monitoring timetable for all suppliers due to be monitored by them in the forthcoming financial year and spread this work across the 4 quarters to ensure a steady workflow:

- At the start of the quarter the supplier is due to be monitored; the responsible Contracts Officer will send to the key contact a monitoring return form (**to send only the front sheet and sections A & B – see appendix 2**) with an explanatory letter (**see appendix 3**) clearly stating the due date for return. The responsible CO will first have entered key information about that supplier and the contracts held with the organisation onto the monitoring form for the supplier to confirm as accurate or to update as appropriate. This may include information collated since the previous monitoring assessment such as performance indicator information or safeguarding notifications / complaints.
- The supplier should return the monitoring from electronically, with the relevant sections completed and any supporting documents requested, to the responsible Contracts Officer by the due date.
- If the due date passes the responsible Contracts Officer must send a reminder email advising that further action will be taken if the monitoring form is not received within **2 weeks**.
- Once the monitoring form has been returned the responsible Contracts Officer will complete the CM Team sections of the form and follow up any matters arising from the form. They will also revise the risk banding as appropriate.

The responsible CO will use the data obtained from the monitoring return form to:

- Check that the main service delivery terms are being met across all contracts for those organisations with the highest level of risk.
- Check progress against any previous improvement targets set.
- Check that any ongoing performance targets are being met when applicable.
- Check that each contract held with the Supplier is strategically relevant – are service fully utilised or are there problems with referrals.
- Monitor the service user focus of providers.
- Check the appropriateness of the risk banding allocated to the organisation.

## Stage 3 – Contract Monitoring Meetings / Visits

Once the monitoring return has been received and followed up by the responsible CO, that officer will then book in a follow up visit / meeting as appropriate to be completed during that quarter. Whether a visit is arranged and the breadth and focus of the visit will depend on the organisations assigned risk banding and any further information arising from the monitoring assessment form.

The responsible CO is to arrange visits

- As guided by the risk banding;
- As requested either by the supplier or the CM Team.

The object of the visit is to make a reality check of how far the service delivery of the organisation corresponds with the expectations of our department.

The responsible CO should plan routine visits to give providers at least **2 weeks** notice. However the use of spot checks may be considered appropriate in certain circumstances – possible where serious

concerns have been raised by a third party within the Council or externally or where initial monitoring has thrown up issues which require a return visit.

Visits should generally be arranged to be held at the offices of the supplier and ideally at a particular service base. This gives the responsible CO the opportunity to verify data provided and to visit a service or services managed by that organisation that we may have particular concerns about. The responsible CO should, through discussion with their key supplier contact, ensure that all relevant workers from the organisation are invited to be present for some of the entire visit – this may include particular service managers where these services may be one of the focuses of the monitoring visit. On some occasions there could be a need of more than one visit if records need to be examined at a head office location and also at service delivery level.

The responsible CO should take the monitoring return form to the visit(s) and complete Section C of the form.

During the visit the responsible CO should:

- Verify that the organisation and service delivery complies with the main terms of the contract(s).
- Review current issues – focus on areas of concerns / planned or recent changes to the organisation or specific contracted services.
- Check that key documents / policies are in place and current.

## **Stakeholder Feedback**

There may be occasions when the responsible CO considers it applicable to contact key stakeholders for a supplier to obtain 3<sup>rd</sup> party feedback about the general services provided or about a particular contract held with the supplier. Stakeholder details should be requested from the supplier and written feedback requested either by questionnaire or email or letter. This would normally be done only in the case of suppliers with a risk banding of “A”.

## **Stage 4 – Follow up Action**

Following the contract monitoring assessment and visit if applicable, the responsible CO will agree any action to be taken and deadlines with the supplier contact and document these under the Improvement Plan section of the monitoring return (Section E).

The responsible CO should diarise checks on Improvement Plan targets.

If the improvement timescales are not being achieved the responsible CO should:

- Renegotiate the improvement plan if the reasons for non-achievement are reasonable, updating the monitoring records;
- Review the risk weighting of the particular supplier / contract and consider increasing the level of monitoring;
- If the provider is already in active management consider further action under the terms of the contract.
- When an improvement target is achieved this should be documented on the improvement plan.

Once the deadline for completing actions has passed and actions have been responded to the responsible CO will finalise the monitoring assessment return and send a final, read-only copy to the supplier organisation for their records. The supplier should be given **2 weeks** to comment on the form and raise any final queries. The responsible CO will then agree any amendments as appropriate and save in the relevant electronic folder of the CM Team.

## Ongoing Monitoring

Monitoring is not restricted to the annual monitoring return and the monitoring visit. During the intervening months the responsible CO will also be collating data about the organisation either in a formalised way such as the collation of quarterly performance indicators, or as and when matters arise such as notification of complaints or of planned or unplanned changes to the organisation. Notes of key meetings and telephone calls should be kept. Anything that impacts directly on matters of contract price or contract delivery must be recorded.

Accurate record keeping is essential to:

- Support the annual monitoring process;
- Act as evidence to support necessary remedial action;
- Monitor performance for payments purposes;
- Help determine the appropriate risk banding for a Supplier; and
- Act as an audit trail

## Default Procedures

Where serious concerns have been identified through the regular contract monitoring process and these have not been satisfactorily resolved through the Improvement Plan process, then action can be taken through the contract(s) held with the supplier. Using the contract to deal with poor performance should only be done after other approaches have been exhausted or where the issues are of a serious nature.

As a supplier can hold more than one contract and a contract can include more than one service we should be clear about whether the action to be taken relates to the whole organisation, to particular contract or to particular services within a contract.

The contract can be terminated with immediate effect where:

- The supplier goes into liquidation;
- The supplier commits a criminal offence when delivering the support service(s); or
- The supplier commits an offence under the Prevention of Corruption Act.

If the responsible CO has any reason to believe that any of the above may apply to a supplier they should immediately notify the Head of Contracts so that appropriate action can be taken as soon as practicable and contingency plan can be instigated as required.

If a supplier commits a default the responsible CO will need to issue a default notice, in consultation with the Head of Contracts. This will specify the default and give the supplier a timescale to correct it. If the supplier defaults persistently or fails to put things right following a notice the contract may be suspended or terminate. Again the responsible CO will need to liaise with the Head of Contracts to progress this.

## Contract Monitoring Feedback

If the responsible CO thinks it applicable they should liaise with the relevant ACS commissioner to inform them of an impending monitoring review and to request their feedback on a particular organisation / contract.

The commissioners will also be able to access copies of all monitoring forms and summary review of visits to support the work that they are responsible for.

## **Review of Effectiveness of the Contract Monitoring Procedures under the Protocol**

When reviewing how effective our contract monitoring procedures the CM Team will need to look at whether it has been able to:

- Produce overview reports about different aspects of a Supplier's service performance which can be routinely shared with relevant management groups, decision makers and stakeholders.
- Produce changes at a number of levels, all of which focus on ensuring that service users receive the highest quality of service, which demonstrates value for money, meets key contractual targets and standards and is continuously improving.

# Appendix 1

## Risk Monitoring Framework

ORGANISATION	LEAD OFFICER (initials)	CONTRACT (If more than 1 indicate: Various)	RISK	2013/14 £ VALUE	RISK	PERFORMANCE	RISK	PROVIDER RISK	RISK	TOTAL	Risk Band	EXTERNAL MONITORING	DATE LAST MONITORED	NEXT MONITORING DUE (SUBJECT TO CHANGE)
"XYZ Care"		Various	3	500k	3	Default	3	High	3	12	Red			
										0	Red			
"ABC Care"		2004	2	75k	2	Warning	2	Medium	2	8	Orange			
										0	Orange			
"123 Care"		Legacy	1	75k	2	OK	1	Low	1	5	Green			
										0	Green			

RISK BAND	REASON	TIMESCALE
<b>A</b>	Scores between 14 & 17	INTENSE MONITORING
<b>B</b>	Scores between 10 & 13	RETURN AND VISIT
<b>C</b>	Scores between 7 & 9	ANNUAL RETURN
<b>D</b>	Scores between 4 & 6	REACTIVE

Provider Risk	Rating	DESCRIPTION
High	3	(Supplier provides a highly specialist and complex service which would take significant time and planning to replace)
Medium	2	(Supplier provides a more specialised service. The level of complexity is medium. Changing suppliers would not be easy at short notice)
Low	1	(Supplier provides generic service, with low levels of complexity, that could be replaced at relatively short notice)

RISK CLASSIFICATIONS:	
Value pa (Provider)	Rating
Below £50k	1
£50 - £100k	2
£100 - £600k	3
£600k+	4
£1 – 1.5million	5
£1.5million plus	6

Contract	Rating
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No Contract, no Due Diligence	4	
No contract but Due Diligence completed	3	
Preferred Supplier (current Contracts)	2	
Former approved supplier with Legacy Placements	1	
Corporate Activity – buy out or takeover in previous 6 months	Add 1 point to above rating	

Performance	Rating
Formal Rectification / Default Notice issues (past 6 months)	3
Informal warning of increased concerns / complaints or service failure – prompting a review meeting	2
Service is currently meeting expectations and requirements	1

## Appendix 2

### Monitoring Return

<b>DEPARTMENT OF ADULT S COMMUNITY SERVICES CONTRACT MONITORING (CM) TEAM</b>	<b>Suffolk County Council</b>	
<u>CONTRACT MONITORING RETURN</u>  <u>2013 – 2014</u>	Date received by CM Team:	
	Date Return Finalised:	

<b>Name of Supplier</b>	
<b>Total Contract Value</b> <i>(total per annum of all Suffolk contracts held with this supplier)</i>	
<b>Summary of Contracts</b>	<ul style="list-style-type: none"> <li>• <u>Insert name of contract</u></li> <li>• .....</li> <li>• .....</li> </ul>
<b>Name &amp; Job Title of person completing form</b>	
<b>Contact number and Email address</b>	
<b>Date completed by Supplier</b>	
<b>Date of next monitoring review</b>	
<b>Suffolk Contracts officer (CO)</b>	

**Purpose of this monitoring form:**

To ensure that the service(s) being provided by your organisation is in line with the Department of Adult Social Services requirements. It is also an opportunity for raising any concerns from the supplier perspective and to look at joint ways of improving service performance.

**SECTION A & B : Supplier please complete each white section – do not leave any section blank but enter not applicable if appropriate. The CM Team will then complete the remaining yellow section and return the complete**

<b>SECTION A</b>		<b>SUMMARY INFORMATION</b>			
1.	<b>Service Monitoring Banding</b>	<i>(state risk banding e.g. band A)</i>			
2.	<b>Supplier Registration Details</b>	<b>Supplier to give registration Details (Complete where applicable)</b>		<b>Number</b>	<b>Date of registration</b>
			<b>Charity number</b>		
			<b>VAT number</b>		
			<b>Company number</b>		
			<b>Housing Corp / TSA number</b>		
			<b>PCO Operators licence</b>		
			<b>CQC Registration</b>		
			<i>Other – state what</i>		
		<i>Other – state what</i>			
3.	<b>Supplier Business Plan</b>	Supplier to submit an electronic copy of their organisational business or development plan covering up to next year.			
		Supplier to inform the CM team of any proposed / predicted changes to the organisation at company / corporate level			
		Have any proposed changes already been agreed by the CM team and if so when was this agreed?			
		CO comments – to consider whether any formal contract variations are required.			
4.	<b>Business Continuity</b>	Supplier to submit a current copy electronically of the business continuity / contingency plan for the organisation.			
5.	<b>Supplier Performance</b>	Supplier to detail any serious or material concern about the delivery of a service or services which you believe the Council should be made aware of?			
		Supplier to outline the organisation's plan for improving performance if concerns exist.			
		CO Comments			
6.	<b>Key Document Checks</b>	Supplier to confirm that all front-line staff have current enhanced CRB Checks – these must be renewed every 3 years and must be made available to the CM Team on request.			
		Supplier to submit current copies of relevant licenses (where appropriate)			
		Supplier to submit copies of applicable insurance details if not previously submitted in past 12 months: <ul style="list-style-type: none"> <li>• Public Liability</li> <li>• Employers Liability</li> <li>• Professional Indemnity</li> <li>• Hire and Reward</li> </ul>			

		Supplier to give details of any changes in key operational staff	
7.	<b>Staffing</b>	What use is being made of agency/temp staff across the contracts?	
		Supplier to detail any current training initiatives across the contracts	
		Supplier to update the CM Team on any other relevant staffing issues such as changes to working across the organisation	
		CO Comments	
8.	<b>Complaints</b>	Supplier to inform the CM Team of any significant incidents or complaints regarding the organisation or specific services under the Suffolk contracts if this information has not already been relayed to us. Also to detail action taken and when.  <i>Copies of all significant incident reports or complaints should be routinely sent to the CM Team as they occur.</i>	
		Supplier to share any positive feedback about the organisation and/or particular contracted services.	
		CO Comments	
9.	<b>Service User Involvement</b>	Supplier to comment on how they ensure that service users are well informed so that they can communicate their needs and views and make informed choices; that service users are consulted about the services provided and are offered opportunities to be involved in their running.	
		CO Comments	
10.	<b>Issues from previous monitoring</b>	CO to confirm date last monitoring review was finalised and comment on any outstanding / ongoing issues	
		Supplier Comments	
		CO Comments	
11.	<b>Reporting and Communication</b>	Are there any issues around communication with the CM Team? If yes, how could this be improved?	
		Are there any other contract related issues or matters which you would like to inform the CM Team about or received a response to?	
		CO Comments	
12.	<b>Additional Comments</b>	Supplier Comments	
		CM Team Comments	

<b>SECTION B</b>		<b>CONTRACT SPECIFIC INFORMATION</b>				
<i>(not all the sections below will be applicable to all contracts – please indicate n/a as appropriate)</i>						
1.	Current Contracts held with the Supplier	1	<b>Name of Contract</b>		<b>Supplier to note any changes / issues against any of the contract details listed</b>	
			<b>Contractual status</b> <i>(e.g. signed and current / legacy Placement due diligence in place)</i>			
			<b>Contract value (per annum)</b>			
			<b>Length and end date for contract</b>			
			<b>Capacity</b> <i>(number of units / Clients / journeys etc)</i>			
			<b>Main referral sources</b>			
			<b>Primary client group</b>			
			<b>Performance against specific targets</b>		<i>(If your project is performing below expected targets please outline your plans for improving performance)</i>	
			<b>Property Details</b>			
			<b>Operational Hours</b>			
			.....			
			Supplier to detail any additional comments about the above contract:- <i>(e.g. such as difficulty obtaining referrals; slow throughput of service users in a short team service; changes to out of hours cover as appropriate; changes to property details)</i>			
			2	<b>Name of Contract</b>		<b>Supplier to note any changes / issues against any of the contract details listed</b>
				<b>Contractual status</b> <i>(e.g. signed and current / legacy Placement due diligence in place)</i>		
				<b>Contract value (per annum)</b>		
				<b>Length and end date for contract</b>		
				<b>Capacity</b> <i>(number of units / clients / journeys etc)</i>		
				<b>Main referral sources</b>		
				<b>Primary client group</b>		
				<b>Property Details</b>		
		<b>Operational Hours</b>				

		Supplier to detail any additional comments about the above contract:- <i>(e.g. such as difficulty obtaining referrals; slow throughput of service users ; changes to out of hours cover as appropriate; any proposed changes to the service(s) under the contract</i>	
		CO Comments – details any action points arising and add to Improvement Plan as appropriate	
2.	<b>Monitoring by other parties</b>	CO to detail any 3 <sup>rd</sup> party monitoring completed for particular contracts <i>(e.g. by TQC team, Commissioners, CSHS, CQC ETC)</i>	
3.	<b>Additional Comments</b>	Supplier Comments	
		CM Team comments	

<b>SECTION C</b>		<b>SITE VISIT</b>				
<b>All sections to be completed by responsible Contracts Officer</b>						
<b>Supplier</b>						
<b>Site and / or services visited</b>						
<b>Date of Visit</b>						
<b>Contracts officer</b>						
<b>Address of site(s) visited</b>						
<b>Members of staff met</b>						
			<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.	<b>Document checks</b>	Public Liability & Professional Indemnity Insurance certificates meet the terms of the contract and are up to date				
		Employee Liability certificates meet the terms of the contract and are up to date				
		There is a satisfactory Auditor's report on the provider's account				
		Sample service user files seen ( <i>state how many viewed – minimum 10% of total service user files audited per site visit (separate checklist to be completed)</i> )				
		Any outstanding litigations claims against the organisation?				
		CO to add items specific to the particular organisation / contracts – e.g.: For Care homes <ul style="list-style-type: none"> <li>• Staff details/rotas/training</li> <li>• Medication charts/menus etc</li> </ul> For Home Care: <ul style="list-style-type: none"> <li>• Check 10% of staff files and training records</li> </ul>				
2.	<b>Recording &amp; Security of Information</b>	Case files are securely stored and accessible only to relevant staff and clients				
		Keys / codes are kept in secure locations				
		Current Data Protection Act notification				
3.	<b>Staffing</b>	Minimum of 10% of staff records sampled (separate checklist to be completed)				
		Training schedule in place and evidence of current training requirements being met				
		Current staffing levels appropriate to needs of service				
		Diverse workforce in terms of gender and culture				
		Evidence of appropriate induction processes and instruction in safe working practices				

4.	<b>Contract Compliance</b>	Evidence of regularly submitted monitoring / performance information as required for specific contracts				
5.	<b>Complaints</b>	A complaints log is maintained				
		The complaints procedure is comprehensive and routinely followed? – CO to ask to see an example of how a complaint has been actioned				
6.	<b>SOVA log</b>	A safeguarding / incidents log is maintained?				
		Incidents are followed through appropriately				
7.	<b>Health &amp; Safety Checks and Property Risk Assessments</b>	Health and Safety checks of services are regular and up to date				
8.						
9.	<b>Issues raised by Provider</b>					
10.	<b>Additional Notes from visit</b>					

<b>SECTION D</b>		<b>STAKEHOLDER &amp; SERVICE USER FEEDBACK SUMMARY</b>	
1.	<b>Stakeholder Feedback</b>		
2.	<b>Service User Feedback</b>		

<b>SECTION E</b>		<b>SERVICE IMPROVEMENT PLAN</b>		
	<b>Date</b>	<b>Action to be taken</b>	<b>Deadline for completion</b>	<b>Action point completed (date)</b>
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
	<b>CM Team Comments</b>			

<b>SECTION F</b>		<b>SUMMARY OF CONTRACT REVIEW</b>	
1.	<b>Outcome</b>	Monitoring Outcome	
		Date finalised	
		Revised Risk Rating	
		Date for next Contract Monitoring Review	
		Date final copy sent to Supplier	
2.	<b>Final Comments</b>		
3.	<b>B Contact details</b>	<b>Name of Responsible CO</b> <b>Adult and Community Services</b> <b>Endeavour House</b> <b>Russell Road</b> <b>Ipswich</b> <b>Suffolk</b> <b>IP1 2BX</b>	

## **Appendix 3**

### **Explanatory Letter to Supplier**

Your Ref:  
Our Ref:  
Date: XXXXXX  
Enquiries to: XXXXXX  
Tel: XXXXXXXX  
Email: XXXXXXXX



[Click and type addressee/address]

Dear INSERT SUPPLIER NAME

**Re: Suffolk County Council Contract Monitoring Reviews 2013/14**

## **Objectives**

The Contract Monitoring protocol aims to ensure that services funded by the department:

- Allow risk to be monitored, managed and action to be taken to mitigate risks.
- Comply with the main service delivery terms.
- Deliver high quality services that reflect good practice.
- Achieve successful outcomes for service users.
- Meet agreed key performance targets if applicable.
- Provide information that informs wider commissioning and procurement activity. It may demonstrate unmet need or new ways of deploying resources.

We will focus any additional monitoring where we assess that there is additional or higher levels of risk.

## **The monitoring process**

### **Stage 1**

- Please complete the attached monitoring return form (white sections of front sheet & Section A and B only) and return to me by email with any supporting evidence requested by **INSERT DATE**.
- Once you have returned the monitoring form we will complete the Contact Monitoring Team sections of the form and follow up any matters arising from the form with you.

### **Stage 2**

- We will contact you if a follow up visit / meeting is required to your organisation. Whether a visit is arranged and the breadth and focus of the visit will depend on various factors including the size and complexity of contracts the organisation holds with the department, whether there are any performance concerns, whether there have been significant changes to the organisation or to particular contracts.

- We will usually aim to give you at least **2 weeks** notice of an intended visit. However the use of unannounced visits may be considered appropriate in certain circumstances.
- Visits will generally be arranged to be held at your offices and/or at a particular service base. We will discuss with you who we would like to meet with on the day – this may include particular service managers where these services may be a focus of the monitoring visit. We will discuss with you what documents we will wish to check.

### **Stage 3**

- Following the contract monitoring assessment and visit if applicable, we will agree any action to be taken and deadlines with you and document these under the Improvement Plan section of the monitoring return (Section E)
- When an improvement target is achieved this will be documented on the improvement plan.
- Once the deadline for completing actions has passed and actions have been responded to, we will finalise the monitoring assessment return and send a final copy to you, the supplier organisation for your records. You will be given 2 weeks to comment on the form and raise any final queries.

### **Ongoing Monitoring**

Monitoring is not restricted to the annual monitoring return and the monitoring visits. During the intervening months we will continue to collect data about your organisation either in a formalised way such as the collation of quarterly performance indicators, or as and when matters arise such as notification of complaints or of planned or unplanned changes to the organisation.

Please do contact me if you have any queries about the contents of this letter or about the completion of the monitoring return form.

Yours sincerely

[Click and type your name]

[Click and type your job title]

[Click and type your directorate]