

No	Recommendation	Priority Rating	Responsible Officer	Responsible Officer Comments	Implementation Date
01	Evidence should be retained to give a clear audit trail of decisions made by the commissioning body and to show corporate procurement rules have been followed for all contracts entered into.	2 Significant	Ian Ramshaw	The Commissioning Body minutes that recorded decisions made in relation to the award of new contracts and amendment of existing contracts have now been forwarded to internal audit. The delay in submission was as a result of long term staff sickness, resulting in lack of continuity in support for the commissioning body. This will be addressed by future meetings being supported by a nominated / named minute taker, and all minutes being uploaded onto a dedicated folder in the shared drive. NB The Commissioning Body meetings have been suspended pending the outcome of the Efficiency, Improvement and Transformation review.	01/11/2011
02	Every effort should be made to obtain a signed contract prior to the commencement of the service to ensure all parties have agreed to the terms and conditions included within it. The outstanding providers should be reminded and their signatures obtained as soon as possible.	2 Significant	Ian Ramshaw	This is the normal procedure, to improve monitoring and compliance where delays have occurred in returning signed contracts a timescale for return of the signed contract will be given and if not received escalated to the Commissioning Body	17/10/2011
03	Officers must ensure that every effort is made to ensure providers submit monitoring information in a timely manner. A reporting procedure should be introduced to ensure management are informed of providers who are not complying with the contract terms.	2 Significant	Ian Ramshaw	Processes will be reinforced and documented to ensure business continuity as regards the submission of monitoring information when key staff is off sick. Failure to submit within and agreed timescale will be followed by a letter and then escalated to the commissioning body.	01/11/2011
04	Providers should receive regular monitoring visits as per the terms of the contracts to ensure the quality of the provision is to the expected standard and that policies and insurances are in place.	2 Significant	Ian Ramshaw	A revised schedule of monitoring visits will be developed and submitted to the Commissioning Body. This has been suspended as all services have been assessed for quality in the last 6 months as part of the Efficiency, Improvement and Transformation review...	30/11/2011
05	Clear guidelines should be introduced to identify procedures to be followed when providers are identified as not returning PI information or underperforming against targets. These should be available to all officers to ensure continuity in the absence of key staff.	1 Prudent	Ian Ramshaw	The Performance Monitoring - Process for late submissions (in line with section 1.4.4) of providers contracts, will be reiterated. Any provider failing to comply will be reported to the Commissioning Body for their consideration this will be a standing item on the Commissioning Body Agenda. It is acknowledged that this has slipped due to recent staffing pressures and workload issues. A longer term review of the data	01/11/2011

No	Recommendation	Priority Rating	Responsible Officer	Responsible Officer Comments	Implementation Date
				required with the removal of the ring fencing and national submissions will take place	
06	A procedure should be put in place to ensure authorisation is received from the budget holder prior to the payment run being finalised.	2 Significant	Ian Ramshaw	An authorisation procedure is in place whereby the finance officer emails the Lead Commissioner for authorisation for payment to go ahead.	01/10/2011