

WEST LoTHIAN COUNCIL

CORPORATE CONTRACT &  
SUPPLIER MANAGEMENT FRAMEWORK

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## **1 INTRODUCTION**

- 1.1** West Lothian Council anticipates spends of circa £1.478bn with externally contracted suppliers over the next 5 years.
- 1.2** As with all public sector organisations, West Lothian Council is facing significant financial pressures. Contract and Supplier Management activity is important in delivering service provision that has the greatest positive impact upon the citizens of West Lothian. The Corporate Contract and Supplier Management Framework provides a consistent approach to managing and monitoring suppliers that supports all service areas to meet the priorities outlined in West Lothian Council's Corporate Plan.
- 1.3** The Councils Corporate Procurement Strategy 2019-2023, Outcome One, is focused on ensuring that all spend that can be positively influenced through contract and supplier management.
- 1.4** The Contract and Supplier Management Framework allows Contract Managers to work closely with suppliers, internal customers and service end users to maximise the quality of service delivery, minimise the total cost of ownership and to maximise Supply Chain efficiencies throughout the life of a range of contracts across the procurement and commissioning of Supplies, Services and Works. It provides evidence to the Council, its external partners and regulators to support best value as well as ensuring the delivery of outcomes for people living in West Lothian.
- 1.5** Contract and Supplier Management should result in contract procedure and process improvements and should ensure that the contract and, therefore the service is delivered to the required standards, provides value for money, enhances service delivery to end users, proactively identifies and manages any risks e.g. which may impact on a supplier's service delivery / fulfilment of the contract requirements, improve and develop contract and supplier performance across the Council.
- 1.6** A consistent approach will maximise efficiencies and promote added value across the supply base, appropriately influence supplier activity and decisions, improve value for money over and above cost savings, and ensure the contract is effectively administered, supporting change management.
- 1.7** Contract & Supplier Management can be considered successful when:
- the arrangements for service delivery continue to be satisfactory to both parties, and the expected business benefits and value for money are being achieved or exceeded;
  - the supplier is efficient, co-operative and responsive;
  - the organisation understands its obligations under the contract;
  - there are no surprises;
  - there are no disputes;
  - professional and objective discussions over changes and issues are straightforward and easily managed; and
  - efficiencies are being realised.
- 1.8** This Contract Management Procedure does not replace any contract management undertaken as required by specific conditions of contract such as NEC or SBCC etc.

- 1.9 All contract management should be conducted in the context of all relevant procurement and contract specific legislation and regulations and Council Standing Orders for the Regulation of Contracts.
- 1.10 The Councils Contract and Supplier Management Framework has been developed with consideration of existing contract management processes across the Council, other Local Authority models and the Scottish Procurement and Property Directorate Procurement Journey methodology.
- 1.11 To support implementation of the Contract and Supplier Management Framework a checklist, attached at Appendix 1, has been developed as a quick reference guide. A process map is also attached at Appendix 2.

## 2 DEFINITION

- 2.1 Contract Management and Supplier Management differ as follows:

**Supplier Management** refers to activities across a supplier's whole portfolio of contracts. These activities are normally more strategic, longer term activities. For example, implementing an online catalogue to manage orders through a supplier or managing the supplier contract to make environmental improvements such as carbon reduction.

**Contract Management** applies to the specific contract for the good(s) or service(s) being procured. For example, increasing the quality of refuse sacks to the UK requirements or amending the hours worked by staff on a security contract.

Although different, Contract Management and Supplier Management are linked. It is very difficult to perform effective Supplier Management if basic Contract Management disciplines are not in place. It would be difficult to discuss innovation through supplier management if you do not understand the supplier contract details. You need to understand how the supplier is performing day to day.

Effective Contract Management is therefore necessary for successful Supplier Management.

## 3 PURPOSE AND BENEFITS OF CONTRACT AND SUPPLIER MANAGEMENT

- 3.1 Within legal limits, both parties should be motivated and enabled to deliver additional value add, over and above that which was specified in the original contract e.g. not simply extending the expenditure. The process should deliver benefit to both parties, by:

- **Relationships:** developing and managing constructive and transparent relationships with suppliers

- **Implementation/Delivery:** ensuring the contract is successfully executed. Includes meeting all special conditions relating to the performance of the contract which may cover economic, innovation-related, environmental, social or employment-related conditions
- **Value for money:** maximising value for money from suppliers and contracts
- **Monitoring & improvement:** providing a formalised system of monitoring, managing and continuously improving the supplier and the organisation's performance against the contract
- **Roles and responsibilities:** ensuring that all parties recognise and understand their contractual roles and responsibilities
- **Compliance:** monitoring overall compliance to Key Performance Indicators and Service Level Agreements. Implementing improvement plans in the event of underperformance. Leveraging supplier expertise in pursuit of cost and efficiency gains
- **Improved benefits:** realising additional savings and benefits and sharing them appropriately
- **Improve Quality of Service:** ensure delivery of quality service, service user outcomes and service standards
- **Supply Chain:** effectively managing the supply chain
- **Innovation:** providing a focus for development of initiatives and innovations
- **Continuous improvement:** driving continuous improvement
- **Lessons learned:** identifying lessons learned to inform future contract terms or strategies
- **Efficiency:** developing supplier relationships to maximise efficiency. Collaborate towards common goals and reduce waste, environmental or social risks
- **Strategic goals:** Support the achievement of strategic goals, such as attracting Community Benefits through the contract
- **Sustainable procurement:** monitoring Sustainable Procurement benefits through the life of the contract and ensuring that targets are met
- **Community benefits:** measuring Community Benefits achieved vs anticipated

#### 4 ROLES AND RESPONSIBILITIES

A summary of the key roles and responsibilities across Contract and Supplier Management are provided in the following table:

Key Roles	Responsibilities
Contract Manager*	<ul style="list-style-type: none"> <li>• Established key point of contact for the Council;</li> <li>• Management and Monitoring of contract and supplier performance against contract specification, Terms and Conditions of Contract and KPIs etc., in line with Corporate Contract and supplier management framework</li> <li>• Responsibility to ensure an Integrated Impact Assessment is undertaken, where applicable;</li> <li>• Ensure compliance with all applicable Laws and Legislative Duties relevant to the contract, for example Sustainable Procurement Duty and Public Sector Equality Duty compliance;</li> <li>• Apply the contract monitoring process to ensure contract compliance;</li> <li>• Management, monitor and report on sustainable procurement outcomes;</li> <li>• Responsibility for ensuring that contract is meeting end service user requirements/outcomes, as applicable.</li> <li>• Lead the Contract mobilisation and migration at the start and end of the contract;</li> <li>• Develop and manage the contract exit strategy;</li> <li>• Monitor “take up” and spend through the contract;</li> <li>• Co-ordination and consolidation of management information from the supplier(s);</li> <li>• Manage any major performance issues and complaints;</li> <li>• Identify and manage risks and issues, escalating where applicable;</li> <li>• Lead the management of modifications/variations to contract as required by existing Terms and Conditions, working with CPU where applicable;</li> <li>• Lead on compliant management of modifications/variation to contracts that are outwith existing Terms and Conditions, with support from Legal and CPU as applicable;</li> <li>• Lead on communication regarding the contract to all internal and external stakeholders as applicable;</li> <li>• Provide advice and guidance on all aspects of the contract and its delivery;</li> <li>• Lead on/facilitate input from any other service area in the delivery of contract management activity;</li> <li>• Lead on internal and external reporting requirements.</li> <li>• Liaise with CPU to arrange Catalogues in PECOS, where applicable.</li> </ul>
Contracts Advisory Group	<p>Advise the Head of Social Policy on:</p> <ul style="list-style-type: none"> <li>• achieving Best Value for the Council in the provision and procurement of Care and Support Services;</li> <li>• taking action to promote and enforce supplier compliance with qualitative and quantitative contractual standards; and</li> <li>• complying with Contract Standing Orders and Procedure for the Procurement of Care and Support Services</li> </ul>

<p>*Corporate Contract Manager</p>	<ul style="list-style-type: none"> <li>• Established key point of contact for the Council;</li> <li>• Co-ordination of contract and liaison with all service areas to manage and monitor contract and supplier performance against contract specification, Terms and Conditions of Contract and KPIs etc., in line with Corporate Contract and supplier management framework</li> <li>• Apply the contract monitoring process to ensure contract compliance;</li> <li>• Responsibility for ensuring that contract is meeting end service user requirements/outcomes, as applicable.</li> <li>• Co-ordination of contract mobilisation and migration at the start and end of the contract;</li> <li>• Co-ordinate the development and management of the contract exit strategy;</li> <li>• Monitor “take up” and spend through the contract;</li> <li>• Co-ordination and consolidation of management information from the supplier(s);</li> <li>• Manage any major performance issues and complaints;</li> <li>• Identify and manage risks and issues, escalating where applicable;</li> <li>• Co-ordinate service areas across the council to renew contract and/or manage modifications/variations to contract as required by existing Terms and Conditions, working with CPU where applicable;</li> <li>• Lead on compliant management of modifications/variation to contracts that are outwith existing Terms and Conditions, with support from Legal and CPU as applicable;</li> <li>• Lead on communication regarding the contract to all internal and external stakeholders as applicable;</li> <li>• Provide advice and guidance on all aspects of the contract and its delivery;</li> <li>• Lead on/facilitate input from any other service area in the delivery of contract management activity;</li> <li>• Lead on internal and external reporting requirements.</li> <li>• Liaise with CPU to arrange Catalogues in PECOS, where applicable.</li> </ul>
<p>Corporate Procurement Unit</p>	<ul style="list-style-type: none"> <li>• Update Corporate Contract and supplier management framework as required;</li> <li>• Provide advice and guidance on the Corporate Contract and supplier management framework;</li> <li>• Support to service areas with modifications/variations to contract as required by existing Terms and Conditions;</li> <li>• Support to service areas on compliant management of modifications/variation to contracts that are outwith existing Terms and Conditions;</li> <li>• Arrange catalogues in PECOS, where applicable;</li> <li>• Identify to service areas where catalogues, for Supplies contracts, are required or would be beneficial;</li> <li>• Collect and collate data on contract management activity across the Council and report on performance to the Procurement Board, including sustainable procurement measures.</li> </ul>

Legal Services	<ul style="list-style-type: none"> <li>• Support development of new contracts as part of the procurement process, as applicable;</li> <li>• Provide advice and guidance on ad hoc contract variations; Advise on early contract terminations;</li> <li>• Provide advice on the interpretation of terms and conditions of the contract;</li> <li>• Advise on the rights and obligations of each party;</li> <li>• Advise on dispute resolution.</li> </ul>
Procurement Board	<ul style="list-style-type: none"> <li>• Monitor contract management performance information, including sustainable procurement measures.</li> <li>• Allocate corporate contract managers, where required.</li> </ul>
Service Managers /Heads of Service	To make judgements in discussion with Contract Managers on the appropriate action where non compliance occurs or issues are escalated through the contract monitoring process.
Supplier – Key Contact	<ul style="list-style-type: none"> <li>• Established key point of contract for supplier;</li> <li>• Lead, enable and support supply chain innovation, continuous improvement initiatives and best practice;</li> <li>• Meet the contractual obligations of the contract on behalf of the supplier;</li> <li>• Attend contract review meetings;</li> <li>• Provide required management information in a timely fashion to the Contract Manager;</li> <li>• Provide effective account management and customer service to the Council, Contract Manager and other Council representatives, as applicable;</li> <li>• Responsible for day to day planning, service delivery and overall contract compliance and performance.</li> </ul>

\*The Contract Manager will normally be the budget holder, or other representative nominated from within the service area. Where there is spend on a contract by multiple service areas the service area which has the largest percentage of spend will lead on the management of the contract in consultation with other users/service areas. Where this cannot easily be identified, or in the case of a dispute, the Procurement Board shall appoint a contract manager.

Where multiple contracts are in place across services, each service area will manage their individual contract day to day and the corporate contract manager will co-ordinate a council wide view of the supplier spend and performance. Where the Lead service is the sole user of the contract or has a unique role in the type of contract being supplied, then there may be more of a day to day management requirement eg washroom solutions and stairlift supply and fit and in that case the Corporate Contract manager may require to undertake the tasks of the core Contract Manager.

## 5 DETERMINING THE LEVEL OF CONTRACT AND SUPPLIER MANAGEMENT

- 5.1 It is important, prior to tendering, to determine the level of management required for the proposed contract once awarded as this influences the frequency and content of contract review meetings. This section, therefore, outlines the process and activities to be used in determining the most appropriate level of contract and supplier management for each contract the Council handles.
- 5.2 The appropriate level of management required for individual contracts should be established by considering factors such as value and length of contract, public visibility, the councils legislative duties such as Public Sector Equality Duty and Sustainable Procurement Duty, openness to complaints or challenges, risk, performance criteria and compliance with requirements of governing bodies (e.g. Care Inspectorate grades for social work contracts).
- 5.3 Contract and Supplier Management should aim to minimise duplication with other regulatory bodies, such as the Care Inspectorate, and ensure that contract monitoring is proportionate to identified risks. There is also an emphasis on the suppliers responsibilities to ensure compliance with contract terms and conditions and to maintain quality assurance systems. An equitable approach should be applied for all suppliers which is transparent and outlines reasons for decisions.
- 5.4 As the Council employs a high volume of externally contracted suppliers each year, it is not possible to engage in detailed contract and supplier management with each of those suppliers therefore three levels of contract management have been established, as set out in the following table:

Level	Aim	Characteristics
High	<p><b>Close Monitoring</b></p> <ul style="list-style-type: none"> <li>Ensure effective contract delivery and supplier performance, risk management / mitigation and maximisation of supplier and market development opportunities, monitoring and delivery of actions.</li> </ul>	<ul style="list-style-type: none"> <li>Contracts that have high value and/or high risk.</li> <li>Manage to ensure effective service delivery.</li> <li>Through effective contract management opportunities for supplier development and greater market knowledge can be identified. This includes managing the performance of the contract and the supplier using a balanced scorecard and using the foundation of medium level contract management.</li> <li>Annual review of Contract and Supplier Management Plan.</li> <li>For Health and Social Care, short life working group to specifically work with the provider, where applicable.</li> <li>For Health and Social Care, all sources of appropriate and relevant monitoring to be considered at this stage.</li> <li>Conduct up to 4 contract review meetings per annum.</li> <li>Site visits where applicable.</li> <li>Any applicable “Medium” and “Low” characteristics.</li> </ul>

Medium	<p><b>Active Monitoring</b></p> <ul style="list-style-type: none"> <li>• Ensure continuity of supply, value for money, risk management / mitigation and supplier performance. Monitoring and delivery of actions. Seek supplier development where possible. Retain/gain market knowledge.</li> </ul>	<ul style="list-style-type: none"> <li>• Low/medium risk.</li> <li>• There may be an abundant supply base and a chance to improve price or limited supply base for a non business critical and/or high cost item that requires management to maintain a consistent supply/service.</li> <li>• Contract managers ensure continuity of supply through ongoing and effective contract management.</li> <li>• Annual review of Contract and Supplier Management Plan</li> <li>• Typical contract management activity and tools include contract review meetings, use of KPIs, gathering user feedback, reviewing spend data, benchmarking costs, market intelligence, elements of supplier health check, and use of a risk register.</li> <li>• Ensuring compliance to the contract by managing delivery of the contract using 4 high level indicators – cost, quality, delivery, service.</li> <li>• Conduct up to 2 contract review meeting per year.</li> <li>• Consider internal feedback with focus on specific problems</li> <li>• For Health and Social Care, Service user reviews from care managers</li> <li>• 6 monthly contract review meeting and, particular for Health and Social Care, 6 monthly site visits.</li> <li>• Any applicable characteristics from “Low” level.</li> </ul>
Low	<p><b>Baseline Monitoring</b></p> <ul style="list-style-type: none"> <li>• Ensure continuity of supply and risk awareness. Monitoring and delivery of actions.</li> </ul>	<ul style="list-style-type: none"> <li>• Low value, low risk.</li> <li>• Procurement requirements are non business critical and there is an abundant supply base.</li> <li>• Requirements may be one off.</li> <li>• Annual Review of Contract and Supplier Management Plan.</li> <li>• In general content management of contracts will include gathering management information, monitoring trends and maintaining awareness of key risks.</li> <li>• Ensuring compliance to the contract by managing delivery of the contract using 4 high level indicators – cost, quality, delivery, service.</li> <li>• Conduct up to 1 contract review meeting/site visit per year.</li> <li>• For Health and Social Care contracts - routine returns (contractual requirements) and review of Care Inspectorate report (where applicable).</li> </ul>

- 5.5** Allocation of the initial level of Contract Management for each contract should be identified through the Contract and Supplier Management Plan at Appendix 4. Where a supplier may have multiple contracts with the Council and, for example, each contract may fall into the low level, but when combined they may fall into a higher level, it may be relevant to consider one Contract and Supplier Management Plan for all of the contracts and therefore contract management may fall to one individual within a service area.
- 5.6** For Care and Support Contracts, additional Care and Support Risk Rating Guidance attached at Appendix 3 provides a further detailed mechanism to identify the level of risk associate to determine the appropriate level of monitoring to be applied.
- 5.7** In cases of joint contracts or jointly commissioned services where the Council enters into a joint contract with one or more public sector organisations, it is important to agree the requirements of such a contract prior to entering into the contract.

A “lead” authority may have been agreed at strategy stage. Legally they are responsible for forming the contract with the awarded supplier(s). Alternatively, a truly “joint” exercise may be initiated. Here the contract will be in the joint name(s) of the participating organisations. In either case, the organisations each remain responsible for meeting their contractual obligations.

Where you have determined only part of the contract will operate as a joint exercise, the organisations will be jointly responsible for those activity areas declared as joint. Each organisation will retain sole responsibility for the activities carried out on its own behalf.

All of the above factors determine the subsequent approach to contract management. Although considered at Strategy Development stage, when deciding subsequent practical considerations these must remain a factor when determining the operational approach such as:

- who is responsible for contract management,
- how Key Performance Indicators (KPIs) will be managed and communicated and
- the reporting / communication network needed between your organisations and the supplier(s).

Where the Council is taking the lead on contract management, the Contract Manager would facilitate any additional information required by other partners. Where the lead authority for contract management is with a partner organisation, the Councils Contract Manager should consider whether this Contract and Supplier Management Framework is reflected in the lead organisations approach and, where there is no contract and supplier management framework in place with the lead organisation, the Contract Manager should promote the Councils approach and/or use this contract and supplier management framework for the Councils element of the contract.

## **6 CONTRACT IMPLEMENTATION**

- 6.1** This section outlines the process and activities associated with implementing a new contract which ensures:

- Supplier(s) have all the information they require to plan the migration of users to the contract;
- Users have all the information they require to use the contract e.g. supplier's contact details, information on the goods or services available from the contract; and
- Continuity of supply

**6.2** Contract implementation consists of three distinct phases:

- Migration: Facilitating the movement of organisations to a new contract post 'go-live'
- Mobilisation: The process of moving from contract award to 'go-live' i.e. the point when a user can actually buy from the contract
- Communication: It is critical to ensure that there is effective communication to all stakeholders to raise awareness of the contract, its specification and when and how to use it.

**6.3** The Contract Manager should hold the first meeting with the successful supplier as soon as possible after the contract has been awarded. The purpose of this meeting is to discuss the contract implementation phase and agree roles, responsibilities, identify activities and agree timescales. It is important to keep in regular contact with the supplier during the contract implementation phase and to arrange meetings and carry out actions etc. when required.

**6.4** The key document within this stage is the Contract and Supplier Management Plan Template, attached at Appendix 4. This document outlines various areas, including:

- The agreed level of management (low/medium/high)
- Roles and responsibilities
- Risks and issues
- Escalation process (within supplier organisation and the Council)
- Performance management framework (KPIs)
- Review meeting schedule
- Mobilisation
- Migration
- Catalogue management
- End user info packs
- Requirement for Supplier / buyer awareness sessions/events

**6.5** The Contract and Supplier Management Plan should be agreed with the supplier. All of the above, in particular, the routes for escalation and the contract review meeting schedule should have been built into the initial Contract Strategy and tender, with reference to the fact that a Contract and Supplier Management Plan will be developed.

**6.6** The Contract and Supplier Management Plan includes a Mobilisation Plan section which aims to ensure that provision under the contract meets the specified requirements in a timeous, effective and seamless manner. The Contract Manager will identify all stakeholders and agree all necessary actions and timelines for inclusion in the Mobilisation Plan.

**6.7** Catalogue management will sometimes be applicable for contracts for supplies. Standard catalogue content for commodities should be produced and published in PECOS. Contract Managers should discuss catalogue requirements with the Corporate Procurement Unit who will arrange for this to be set up. This can be very time consuming and it is, therefore, important to build in sufficient time for creation of catalogues and normally the information for catalogues will be established during the tender process.

## **7 CONTRACT REVIEW MEETINGS**

**7.1** Contract review Meetings are an important part of the Contract and Supplier Management process and provide the Contract Manager and the supplier with an opportunity to focus on what is going well, identify any problems at an early stage and agree opportunities for improvement and innovation.

**7.2** It is suggested that for contracts and/or suppliers where a low level of management is being applied, that Contract Managers should consider holding 1 review meeting per year. Where a medium level of management is being applied Contract Managers should consider holding up to 2 meetings per year. For Contracts and/or Suppliers where a high level of management is being applied Contract Managers should consider holding up to 4 review meetings a year. These are suggested frequencies and the need for meetings may vary depending on which level of contract management the supplier is placed in, performance and/or movement of contracts and/or suppliers between the monitoring levels, along with the length of contract.

**7.3** A standard Contract Review Meeting Template comprising a meeting agenda, minutes and action notes is available, at Appendix 5, to assist in the management of contract review meetings and supplemented by a Balanced Scorecard. Balanced Scorecard Templates are attached at Appendices 6, 7, 8, 9 and 10.

**7.4** These templates can be used by both the Council and the supplier in advance of meetings to provide a structure to the meeting, with the scorecards in particular used to gauge where performance is improving, remaining static or declining.

**7.5** Financial appraisal checks are conducted during the tender process and may also be carried out at any point in a contract by contract managers during the life of a contract to confirm financial standing. For longer-term contracts, contract managers may consider conducting financial appraisal annually during the life of the contract or at key points, for example when a variation to contract is made.

**7.6** Meetings should focus on:

- Introduction and apologies
- Review and agreement of previous minutes, issues & actions
- Supplier review and update
- Council review/service improvement plan update
- Supplier scorecard review
- Current contract performance against key performance indicators and target/agreement
- Sustainability and community benefits – benefits realised, including the use of SME/local suppliers within the supply chain
- Ensure delivery of any mitigating actions identified in any Integrated Impact Assessment (IIA)

- Financial monitoring
- Process
- Health and safety
- Agree actions for improvement
- Contract(s) risk register review
- AOCB
- Date/time/location for next meeting(s)

**7.7** These are suggested agenda topics for discussion however will need to be adapted for specific types of contract and/or suppliers.

**7.8** Meetings should recur as agreed until the contract approaches its completion, and documented (minutes, actions, change in performance) throughout, with actions followed up as agreed. Minutes of meetings, agreed actions and scorecard results should be communicated to all stakeholders following each meeting.

**7.9** For contracts, where the duration is more than 12 months, the Contract and Supplier Management Plan should be reviewed annually, along with the Contract Review Meeting Template. For Health and Social Care contracts there is a separate Annual Contract Monitoring Template at Appendix 11.

## **8 HOW TO MEASURE KEY PERFORMANCE INDICATORS (KPIs)**

### **8.1 Existing Contracts without Specified KPIs**

In the event that a contract manager inherits a contract that has no KPIs identified, although the full implementation of contract management cannot be put in place, basic management can be implemented based on the tender specification. This can be done by reviewing the existing service specification and extracting performance measures under the heading of the balance scorecard.

### **8.2 New Contracts and Existing Contracts with Specified KPIs**

For new and existing contracts with KPIs, these will have been established as part of the procurement /tendering process to set up the contract. The performance of a contract will be managed against KPIs, for quality scored or mandatory performance. The list provided below are indicative of the level of KPIs which would be appropriate when a High level of management is required. For a Low level of management, it may be sufficient to measure performance using the high level KPI headings of quality, service, delivery and cost. For a Medium level of management, a combination of the high level KPI headings, with only a few relevant indicators for the lists below, may be sufficient. The Balanced Scorecard Template can be used for a “High Level” contract and it can also be modified and used for “Medium and Low Level” contracts.

#### **QUALITY:**

- Fit for purpose in terms of quality of product/service
- Returns – incorrect item, damaged, substandard quality, incorrect item ordered
- Corporate Social Responsibility – dependent on specification of requirements
- Continual Improvement/Innovation

#### **SERVICE:**

- Responsiveness
- Complaints
- Management Information
- Education/Training
- Communication

**DELIVERY:**

- Lead time/delivery time
- On time delivery against objectives
- Accuracy

**COST:**

- Pricing Stability
- Invoice Accuracy
- Cost Reduction Initiatives

**8.3** The specific requirements for each KPI should be amended to reflect the specific requirements of the contract. The final targets will either be stipulated within the ITT or agreed by all parties concerned when drawing up the Contract and Supplier Management Plan. It is intended that these indicators will be developed throughout the lifetime of the contract as demand evolves and and reviewed at scheduled contract review meetings.

**8.4** Contract and Supplier Management will be carried out by the Contract Manager, on behalf of the Council, in a manner that is objective, fair and transparent. The relevant Contract Manager will assist with all KPI scoring in the early stages. Scoring of suppliers in particular must only relate to their performance and matters under the control of their own suppliers and sub-contractors. All scoring should be visible to the suppliers involved and they should have an opportunity to comment on the scoring and have their comments noted in the records. All records should be held on contract files for contract management and audit purposes.

**9 MODIFICATION OF CONTRACTS DURING THEIR TERM**

**9.1** Contract modification procedures should be included in the contract and the Contract and Supplier Management Plan and discussed at the initial meeting. The respective roles and responsibilities of both parties in the contract modification process must be clearly identified, along with procedures for raising, evaluating, costing and approving change requests.

**9.2** Modification to contracts are likely to occur during the lifecycle of a contract, especially longer term and/or strategically critical contracts on many aspects, for example:

- Service delivery
- Scope of work/specification
- Performance
- Costs
- Product availability/changes to specification/obsolescence/revision of rates
- Whether the contract continues to represent value for money

- 9.3** Public procurement legislation makes specific provisions for modification of contracts during their term and, as such, any modification to a contract requires careful consideration. If the modification to the contract is not already established in the specification and/or terms and conditions of the existing contract, Contract Managers must contact the Corporate Procurement Unit (CPU) prior to making modifications to ensure that such modifications are compliant with Contract Standing Orders and Public Procurement legislation and regulations.
- 9.4** If any proposed change significantly increases or decrease the scale or scope of the services provided under the contract, the Contract Manager, in conjunction with CPU, would need to consider whether the contract continues to achieve best value and value for money and is overall compliant.
- 9.5** Where a modification is required, which is not already part of the agreed contract, the Contract Manager should consult with Legal Services to seek guidance on varying the contract. Contract Managers must ensure that all changes to the contract are logged using the Change Control Template attached at Appendix 12. For each modification, a Contract Variation Template, attached at Appendix 13, should be completed and signed by all parties to the contract. Documenting changes in this manner will ensure that involved parties have clarity and visibility of the change.
- 9.6** A signed copy of any contract variation documents, along with any subsequent formal contract documentation and change control template, should be sent to the supplier and a copy retained in the contract file. All stakeholders and end user should be informed of the changes to contract, as applicable.

## **10 CONTRACT EXIT**

- 10.1** All contracts entered into have a start and end date. Public Procurement legislation and regulations in Scotland require all contracts to be tendered. Should the requirement for a service continue beyond the contract end date the contract must be re-tendered in line with the legislation and regulations and Contract Standing Orders.
- 10.2** As a contract progresses, the contract manager is responsible for ensuring that both parties are working towards the planned fulfilment and exit of the contract, and the procurement process for securing subsequent supply arrangements if required.
- 10.3** An Exit Strategy is necessary to identify possible risks, define potential losses, include any de-commissioning requirements and ensure continuity of services. It should be a 'front end' activity created before the contract is signed. An Exit Strategy template, attached at Appendix 14, should be completed at the Contract Strategy development stage and finalised after contract award. This may appear counter-intuitive, but without a well thought out strategy which is consistent with the overall Contract Strategy, the Council risks becoming locked into an unsatisfactory relationship or being forced to pay more to part ways and minimise operational impact. With an Exit Strategy in hand at the outset of a supplier relationship, the Council's needs will be incorporated into the contract, ensuring minimum business and customer/end user disruption in the event that the relationship is terminated.
- 10.4** There are several considerations to be made when developing an exit strategy, including:

**Continuing Service Requirements:**

An Exit Strategy should set forth the Council's service requirements for the period during which the parties are transitioning out of the relationship:

- An obligation by the supplier to continue performing the services at the same level of quality for any transition period to a new contractor and to continue to comply with all the obligations in the contract;
- Requirements for the provision of parallel services for a certain period, with the right to extend the term as necessary to resolve issues before the final cutover;
- An obligation by the supplier to keep the same supplier team performing services during the transition period;
- Confidentiality on any communications regarding the termination of the relationship.

**Data Security and Privacy:**

Data privacy and security are critical and the Exit Strategy should consider provision for factors such as:

- Providing for the transfer of all data belonging to the Council, including any customer information;
- Determining an acceptable method by which the supplier will destroy and remove the Council's proprietary information;
- How the supplier will destroy and remove this sensitive information from all media, ensuring it is not disclosed to other individuals or organisations;
- The return or transfer back of each party's assets

**Knowledge and Documentation Transfer:**

Rigorous documentation and knowledge transfer requirements in the contract will pay dividends. Be sure to:

- Require the supplier to give you access to everything the Council will need to maintain the service;
- Clearly delineate which party owns the work performed by the supplier and which party is responsible for solidifying the transfer of ownership;
- Fully document the service description for any additional services of the supplier during the transition period (e.g. training Council employees or training new supplier personnel);
- Require the supplier to supply the Council with copies of data, procedures, access logs, error logs, documentation and other information that the supplier generates as a part of providing the services. The supplier should also grant the Council the right to provide this information to potential successor suppliers.

**Property and assets:**

An Exit Strategy should cover property and asset transfer aspects of the contract, including:

- Responsibilities for payments of utility and other bills if the supplier has been using Council premises in the delivery of the services, or if the Council has been using supplier premises;
- Return of moveable assets owned by the Council and held by the supplier, or vice versa.

**People:**

An Exit Strategy should cover personnel issues, such as:

- Ensuring that supplier personnel and key resources with relevant knowledge and expertise remain on the project and committed during the transition;

- Defining the exit-strategy team and its roles;
- The treatment of employees and any obligations to inform or consult under TUPE.

**Costs:**

Transition, termination and timing are a key part of the financial aspects of an Exit Strategy. Be sure the contract:

- Will not penalise the Council for an early exit, especially if the termination is due to the supplier's failure to perform adequately;
- Specifies when compensation should be paid and how much, including compensation for any continuing base services and transition activities;
- Specifies the return of any pre-paid fees for which services have not been rendered.

**10.5** Termination of contracts during their term are infrequent. However, any exit strategy must allow you to terminate a contract during its term where the following occur:

- a) the contract has changed substantially i.e. a new procurement exercise would have been required;
- b) it is found that the successful supplier should have been excluded from the procurement procedure at contract award. This could be for either mandatory or optional exclusions, for example, as a result of convictions for fraud or corruption;
- c) the contract should not have been awarded to the supplier where a Court of Law has declared there has been a serious infringement of Public Procurement Legislation obligations; and
- d) for performance reasons.

Regulation 73 of the Public Contracts (Scotland) Regulations 2015 requires a) to c) above to be included as a contract term. If they are not included, they are implied.

**10.6** Exit Strategies should be reviewed annually, or when significant change occurs. This fully inclusive process involving all parties should include a 'lessons learned' review which incorporates feedback from end-users, where applicable, and the supplier.

**10.7** Depending on the complexity of the contract, implementation of an exit strategy should begin between 6 and 12 months prior to the contract end date and may be longer for some contracts. A contract review should also be conducted at this stage.

**10.8** The final review and lessons learned should be clearly documented and communicated to appropriate stakeholders, as it may inform any subsequent procurement for similar commodities in the future. Both the Contract Review Meeting Template and the Lessons Learned Log Template are attached at Appendix 5 and Appendix 15, respectively.

## **11 REPORTING AND MONITORING**

**11.1** The Corporate Procurement Unit report on performance indicators, including sustainable procurement measures, on a quarterly basis, to the Procurement Board through the Performance Report.

**11.2** Performance Indicator CPU038a\_9b.1a measures the number of Contract and Supplier Management meetings held across the Council. To enable this reporting, information will be collected from Services areas, by CPU on a quarterly basis.

**11.3** For Health and Social Care, variances in contract monitoring levels should be reported to the CAG on a quarterly basis.

## **12 RISK MANAGEMENT**

**12.1** The Contract Manager will have a responsibility for ensuring that risks and issues associated with the contract are recorded, managed and escalated, where applicable, in accordance with the Council's Risk Management Policy.

## **13 REVIEWING THE CORPORATE CONTRACT AND SUPPLIER MANAGEMENT FRAMEWORK**

As well as ensuring amendments and updates are made as required, the Responsible Officer for Procurement shall carry out a review of this Corporate Contract and supplier management framework at least once in each administrative term and shall report the outcome to the Procurement Board.

## CONTRACT AND SUPPLIER MANAGEMENT FRAMEWORK – CHECKLIST

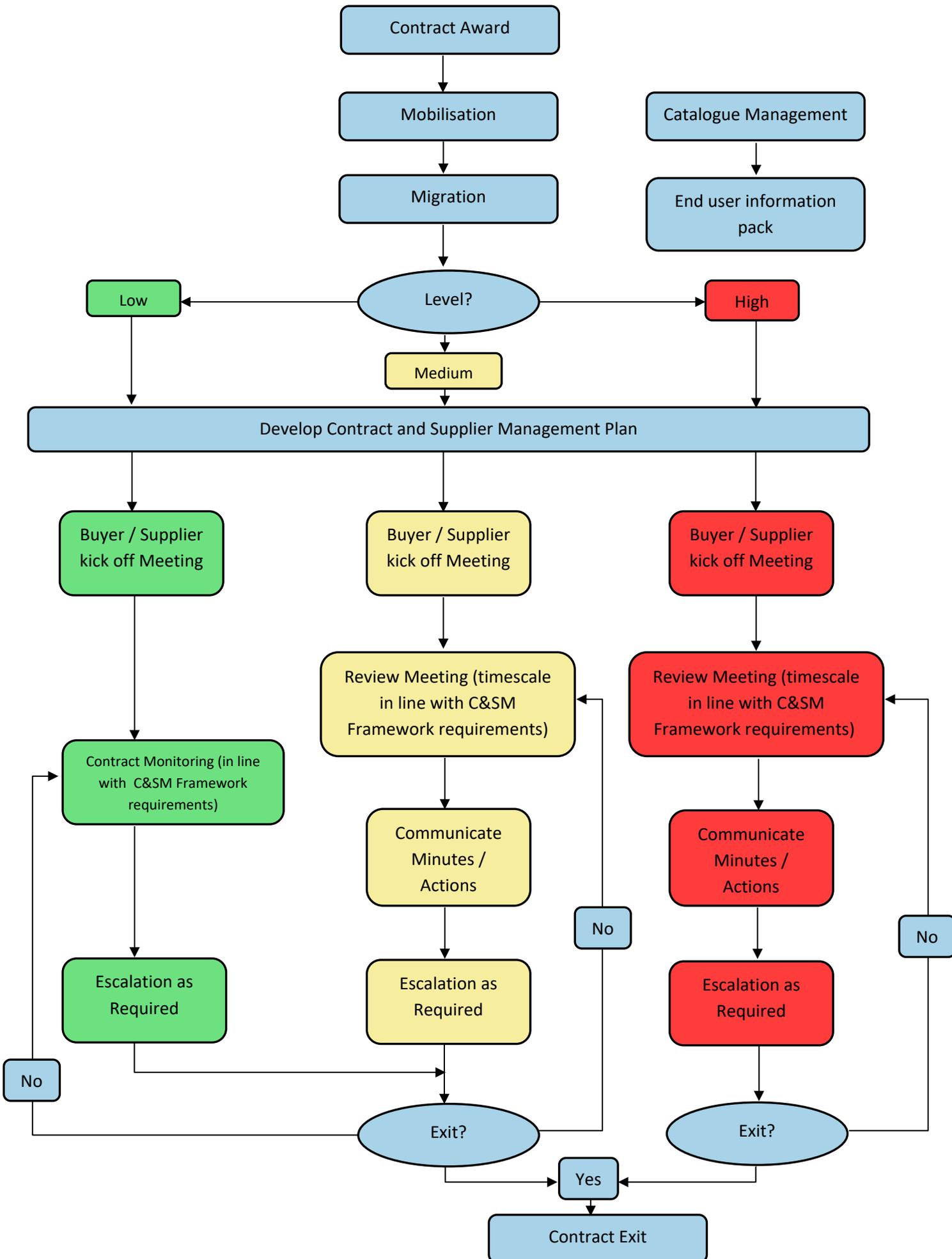
Ref	Description	Section Ref	Template	Notes/Required Action
1	Has a Contract Manager been appointed by the Service Area?	4	 C&SM - Appendix 4 - Contract and Supp	
2	Has a Contract and Supplier Management Plan been developed and agreed with the supplier?	6	 C&SM - Appendix 4 - Contract and Supp	
3	Is there an Exit Strategy built into the tender specification and, therefore, the terms and conditions of contract?	10	 C&SM - Appendix 13 - Exit Strategy Ter	
4	Does the overall tender specification / document ensure that all aspects of the Contract and Supplier Management Framework can be applied to the contract?	6	 C&SM - Appendix 4 - Contract and Supp	
5	Has the level of management of the contract and/or the Supplier been identified and documented in the Contract and Supplier Management Plan?	5	 C&SM - Appendix 4 - Contract and Supp	
6	How frequently are Contract Review meetings to be scheduled? Do you have them diaried in?	5	 C&SM - Appendix 5 - Contract review me	
7	Will the contract and supplier management plan require annual review?	7	 C&SM - Appendix 5 - Contract review me	
8	Are there other contract signatories who, as key stakeholders, required to be included in the development of the Contract and Supplier Management Plan and/or ongoing contract management?	5/6	 C&SM - Appendix 4 - Contract and Supp	
9	Arrange an initial Contract Review meeting with the supplier.	6	 C&SM - Appendix 5 - Contract review me	

10	Is there a mobilisation and migration plan in place?	6	 C&SM - Appendix 4 - Contract and Supp	
11	Is there a communication plan in place?	6	 C&SM - Appendix 4 - Contract and Supp	
12	Has the necessary information been obtained from suppliers to set up catalogues in PECOS?	6	 C&SM - Appendix 4 - Contract and Supp	
13	Have arrangements been made with CPU to develop catalogues?	6	 C&SM - Appendix 4 - Contract and Supp	
14	Do you need to conduct a financial appraisal during the life of the contract?	7	 C&SM - Appendix 5 - Contract review me	
15	Have KPIs been established for the contract?	8	 C&SM - Appendix 4 - Contract and Supp	
16	Have you developed a balanced scorecard?	8	See Appendix 6,7,8 or 9	
17	Are contract modifications written into the tender specification and contract terms and conditions?	9	 C&SM - Appendix 12 - Contract Variat	
18	Do you require to complete a contract variation template?	9	 C&SM - Appendix 12 - Contract Variat	
19	Do you require to implement a change control document?	9	 C&SM - Appendix 11 - Change Control	
20	Is there an exit strategy in the tender and terms and conditions?	10	 C&SM - Appendix 4 - Contract and Supp   C&SM - Appendix 13 - Exit Strategy Ter	
21	Have all associated contract risks and issues been recorded?	12	Refer to Councils Risk Management Policy	
22	Are all risks being managed appropriately?	12	Refer to Councils Risk	

			Management Policy	
23	Do any risks require to be escalated?	12	Refer to Councils Risk Management Policy	
24	Does the level of management of the contract and/or the Supplier which has been identified and documented in the Contract and Supplier Management Plan need to change as a result of any changes to the contract or risks and issues?	6/12	 C&SM - Appendix 4 - Contract and Supp	
25	Are there any lessons to learn and log for future reference?	10	 C&SM - Appendix 14 - Lessons Learne	

**Contract & Supplier Management Process\_Map**

**Appendix 2**



## Care and Support Risk Ratings Guidance

INDEPENDENT SECTOR – RISK ASSESSMENT CRITERIA					
Organisation	Quality of infrastructure	1 Well established locally and known as well organised service.	4 National organisation, experienced in service field.	8 Not well established locally and not known to the department.	10 Not established and known to be of concern to other authorities.
	Management & Staffing	1 Competent management and well trained staff.	4 Competent management but largely untrained staff	8 Weaknesses in local management or staffing	10 Unresolved complaints about management or staffing.
Terms	Annual Volume	1 Under £50K	4 £50K - £100K	8 £100-250K	10 £250K+
	Service Specification/ contract Position	1 Contract/ Specification in place which outlines service requirements and obligations.	4 Contract/ Specification in place, but needs updating.	8 No contract or specification in place, but positive service history evident.	10 No contract or service specification in place and no substantial service history.
Internal Monitor	Evidence from Internal monitoring	1 Monitoring findings from range of sources positive.	4 Limited monitoring and findings positive	8 Formal monitoring arrangements still to be established	10 Monitoring identifies complaints and concerns re service.
External Monitoring	Care Inspectorate or other bodies	1 Monitoring findings of sources positive	4 Due to be inspected/ or reports have been delayed.	8 Scores have decreased and concerns are being raised.	10 Scores are low and upheld complaints/ orders or similar

<b>Incidents</b>	<b>Evidenced incidents</b>	<b>1</b> No incidents currently requiring action	<b>4</b> Incidents but managed well internally within Organisation	<b>8</b> Incidents with action plan required and Monitoring	<b>10</b> Critical Incidents
<b>Risk</b>	<b>Service Type/client Risk</b>	<b>1</b> Support and advice service only.	<b>4</b> Low levels of personal care and/or clients able to self-advocate.	<b>8</b> High level of personal care provided in group living situations.	<b>10</b> High level of personal care provided in clients home.
<b>Fit</b>	<b>Strategic Fit</b>	<b>1</b> Service clearly fits with departmental strategies.	<b>4</b> Service in process of modernisation.	<b>8</b> Service standards satisfactory, but service model dated.	<b>10</b> Service model dated and provider reluctant/ unable to change and modernise.
<b>Finance</b>	<b>Financial Assessment</b>	<b>1</b> Service, viable, subject to review and operates within financial parameters set	<b>4</b> Service not subject to review in past 2 years but operating within financial framework set.	<b>8</b> Service has repeated difficulties in operating within financial frameworks.	<b>10</b> Service subject to concerns about viability or concerns about financial integrity of organisation exists.

**Note:**

If external monitoring in place (in the main registered services) the scores will range from 10 and a maximum of 100 against each contract.

Scores should be allocated with a minimum of 9 and a maximum of 90 against each contract when no external monitoring (i.e. not registered with the Care Inspectorate)

The table are examples of 1, 4, 8 and 10 scores giving guidance and more description points to aid scoring. Organisation can be scored from 1 to 10 so can for example be awarded a score of 5.

The three Monitoring Risk Assessment Criteria are core to the risk assessment framework. Any provider will immediately go into "High Risk" if they score 2 maximum scores of 10 (internal monitoring, external monitoring and incidents) this will require a report to Community Care Management Team outlining the areas of concern.

\*Definitions

<b>Quality of infrastructure</b>	<ul style="list-style-type: none"> <li>– HR/ Administration/ backroom functions competent.</li> <li>– Policies and procedures up to date.</li> <li>– Management and governance structure clear and competent.</li> <li>– Parent Organisation- checks completed.</li> <li>– Procurement checks completed.</li> </ul>
<b>Management of Staffing</b>	<ul style="list-style-type: none"> <li>– Evidence regarding the competency of the staff and management.</li> <li>– Staff qualified up to appropriate level for SSSC registration if required.</li> </ul>
<b>Annual Volume</b>	<ul style="list-style-type: none"> <li>- Annual spend amounts including framework Contracts.</li> </ul>
<b>Service Specification</b>	<ul style="list-style-type: none"> <li>– Evident in file.</li> </ul>
<b>Internal Monitoring</b>	<ul style="list-style-type: none"> <li>– Internal reactive monitoring such as complaints from services users and care managers.</li> <li>– Outcomes reporting.</li> <li>– Annual Contract Monitoring Framework.</li> </ul>
<b>External Monitoring</b>	<ul style="list-style-type: none"> <li>– In the main Registered Services and CI reports, complaints.</li> <li>– Other examples OSCR, Housing Regulator, Statutory Bodies.</li> </ul>
<b>Incidents</b>	<ul style="list-style-type: none"> <li>– These must be evidenced incidents that do fit into other criteria.</li> <li>– Any Contract scoring 5 or over a report to be done to the Community Care Management Team.</li> </ul>
<b>Risk</b>	<ul style="list-style-type: none"> <li>– Service type / Client risk</li> <li>– Service users levels of need and / or capacity</li> </ul>
<b>Strategic Fit</b>	<ul style="list-style-type: none"> <li>– How does the service sit with the Council’s priorities and strategic direction</li> </ul>
<b>Finance</b>	<ul style="list-style-type: none"> <li>– Adherence to any financial parameters set</li> </ul>

If external monitoring in place (in the main registered services) the scores will range from 10 and a maximum of 100 scores against each contract. Scores should be allocated with a minimum of 9 and a

maximum of 100 scores against each contract when no external monitoring (i.e. not registered with the Care Inspectorate) the table are examples of 1, 4, 8 and 10 scores giving guidance and more description points to aid scoring. Organisation can be scored from 1 to 10 so can for example be awarded a score of 5.

The three Monitoring Risk Assessment Criteria are core to the risk assessment framework. Any provider will immediately go into “High Risk” if they score 2 maximum scores of 10 (internal monitoring, external monitoring and incidents) this will require a report to Community Care Management Team outlining the areas of concern.

The assignment of low, medium and high risk levels is based on the following:

<b>Low Risk</b>	Scores are low for all areas as evidenced by care inspection grades, routine monitoring and finance evidence and the total risk scores are within the range of low monitoring <b>10-41. (9 to 35 no external monitoring).</b>
<b>Medium Risk</b>	Care Inspection scores have reduced since the last inspection and/or a care failure has occurred and/or where the total risks score is within the range of medium monitoring of <b>42 – 70. (36 to 65 no external monitoring).</b>
<b>High Risk</b>	Where there have been serious care failures and/or adult protection concerns, and/or where Care Inspection scores have reduced over a year to score 2 or 1, and/or where financial concerns threaten the ongoing sustainability of the services and will potential require re-commissioning of the service, and /or where the total risk score are within the range of high level monitoring <b>71 – 100. (66 to 90 no external monitoring).</b>

It will be the role of the nominated Contract Manager, in conjunction with other key stakeholders as appropriate, to determine the levels of contract monitoring to be applied using the criteria in the risk assessment table in Appendix 4. This can be one of the outcomes of the annual contract monitoring meeting, or if there have been any changes in contract compliance and performance which requires the level of contract monitoring to change or be escalated e.g. a reduction in care inspection grades, information regarding financial sustainability, a pattern or regular occurrence of complaints.

## CONTRACT AND SUPPLIER MANAGEMENT PLAN

**1 - Key Stakeholders**

Nominated contact	Role	Responsibility
	Contract Manager	
	Supplier Contact	
	<i>Add others as applicable</i>	

**2 - Level of Management required**

Monitoring Level
<i>High / Medium / Low (delete as applicable)</i>

**3 - Contract Objectives**

<i>[Insert original high level aims and objectives of contract from tender documents.]</i>
--

**4 - Performance Management Framework**

<i>[Insert details of KPI's from tender document]</i>
---

**5 - Mobilisation and Migration Plan**

<i>[Provide details of how the contract will be made active and rolled out, with a smooth transition from one contractor to another. Template available in the pre-tender Contract Strategy and added to the C&amp;SMF Checklist at Appendix 1]</i>
---

**6 - Contract Compliance**

<i>[Provide details of how the minimum performance requirement will be monitored.]</i>
--

**7 – Catalogue Management**

*(Provide details of catalogue set up and management)*

**8 – Buyer/Supplier Event**

*(Provide details of any required events for buyers and/or suppliers)*

**9 – Environmental Monitoring and Reporting**

*(Provide details of environmental factors, including emissions/carbon management, included within the contract and how they will be managed and monitored)*

**10 – Community Benefit Monitoring and Reporting**

*(Insert the community benefits included within the contract and how they will be managed and monitored)*

**11 – Social and Health Monitoring and Reporting**

*(Insert details of any Social and/or Health factors included within the contract and how they will be managed and monitored)*

**12 – Economic Factors and Workforce Matters Monitoring and Reporting**

*(Insert details of any Economic factors and/or Workforce Matters included within the contract and how they will be managed and monitored)*

**13 – Data Protection and Information Security**

*(Insert details of any data protection and information security requirements and how this will be managed and monitored)*

**14 - Modification and Change Control Process**

*(Provide details of how modifications to contracts and any change control process will operate)*

**15 – Equality and Diversity**

*(Provide details of any Equality and Diversity Integrated Impact Assessment (IIA) outputs that are part of this contract and how they will be managed and monitored)*

**16 – Exit Strategy**

*(Insert details of how exit will be carried out)*

**17 - Risk Identification and Escalation Process**

*(Provide details of key risks and how these will be monitored and escalated, where applicable)*

Issue Ref	Issue	Responsibility	Resolution	Date
Risk Ref	Risk	Responsibility	Mitigating Action	Date

**18 – Review Meetings**

Proposed Date	Actual Date

## AGENDA/MEETING NOTE ACTION

<b>Supplier:</b>			
<b>Contract Title:</b>		<b>Contract Ref:</b>	
<b>Contract Start Date:</b>		<b>Contract End Date:</b>	
<b>Review Meeting Date/ Time:</b>		<b>Review Meeting Location:</b>	
<b>Attendees:</b>			
<b>Apologies:</b>			

\*Delete as applicable

	<b>Agenda Item</b>	<b>Lead</b>	<b>Notes</b> <i>(delete guidance in red before completion)</i>
1	<b>Introduction and apologies</b>		<i>(Give a brief overview of what the meeting is about and explain how they are arranged (i.e. this is the second of four quarterly meetings etc.))</i>
2	<b>Review and Agreement of Previous Minutes, Issues and Actions</b>		<i>(Read over previous minutes, discuss and agree. If there are risks, issues or actions on previous minutes then please follow up.)</i>
3	<b>Supplier Review and Update:</b>	Supplier	<i>(Ask supplier if they have any news, updates, issues etc.? Ask supplier how service has been running etc.)</i>
	New developments/ products/ news		
	Customer-affecting issues <i>(e.g. product issues, recalls)</i>		
	Complaints		
	Value adds		
4	<b>Council Review/ Services Improvement Plan Update:</b>	Council	<i>(Give a brief update on any staff changes within the Council, complaints that we have received regarding the service, and any changes within the Council that will concern the supplier.)</i>
	Council performance/ issues		
	Complaints		
5	<b>Supplier Scorecard Review</b>		<i>(Review completed Balanced Scorecard template. Update if any changes.)</i>

6	<b>Current Contract Performance against target/ agreement:</b>		<i>(Discuss i.e. referrals, capacity, staffing issues, are they meeting contract requirements, can they provide sufficient services, are there any issues to address?)</i>
	Review of contract delivery		
	Issues for escalation		
	Failure to deliver Service		
7	<b>Sustainability &amp; Community Benefits – Benefits realised</b> <i>(Supplier should provide details of sub-contractors used, identifying if any are SMEs or local)</i>		<i>(Review any factors included in the contract. If none, identify whether they employ local staff, do they provide a benefit to the local community, do they participate in green schemes, do they use local businesses such as builders etc. Flag any non contract factors to CPU).</i>
	Social		
	Economic		
	Environmental		
	Other		
8	<b>Financial Monitoring:</b>		<i>(Are there any problems with payments, are they being paid on time and accurately, have up to date accounts been reviewed recently and checked by FMU, are the costs of the service economical in the current climate?)</i>
	*Purchase to Pay		
	*Invoices/ Billing cycles & any issues		
	*Financial Stability/ results of last check <i>(pre-meeting task)</i> / Issues		
	*Whole Life Costing Update		
	Savings		
	*Supplier guarantees		
9	<b>Process:</b>		<i>(Are there any changes to the contract to discuss? Has the provider sent all appropriate docs? i.e. Discuss Care Inspectorate grades and when inspection is likely. What steps are in place to ensure they are complying with the Real living wage? SSSC registration requirements.)</i>
	*Change Management <i>(changes to delivery/ contract/ agreement/ SLA)</i>		
	*Supporting processes/ documentation		
	*Regulatory/ Standards		

10	<p><b>Health and Safety: <i>(Please ensure organisations are adhering to their policy and written risk assessments are in place for the most significant risks and that the work control measures they identify have been implemented)</i></b></p>	<p><i>(i.e. - Health &amp; Safety Policy)</i></p> <ul style="list-style-type: none"> <li>- Health &amp; Safety Training</li> <li>- Qualifications held by H&amp;S Officer and contact details</li> <li>- Reportable incidents for organisation</li> <li>- risk assessment</li> <li>- Fire risk assessment</li> <li>1. Accidents or Abnormal Incidents <ul style="list-style-type: none"> <li>- What happened and when</li> <li>- Who was involved and what harm/damage was caused</li> </ul> </li> <li>- The Remedial Action Plan</li> <li>- Progress against the Remedial Action Plan</li> <li>2. Regulators Health and Safety (or Fire) Issues <ul style="list-style-type: none"> <li>- Issues raised</li> <li>- Actions required</li> <li>- Action Plan and Progress against actions</li> </ul> </li> <li>3. Risk Assessment <ul style="list-style-type: none"> <li>- Risk Assessment Schedule</li> <li>- Progress on the review of risk assessments</li> <li>- Reassurance that work controls identified in risk assessments/method statements are being implemented</li> </ul> </li> <li>4. Training <ul style="list-style-type: none"> <li>- Health and Safety Training Needs Analysis</li> <li>- Annual Programme for Health and Safety Training</li> <li>- Implementation of the Training Programme</li> </ul> </li> <li>5. Inspection/ Audit <ul style="list-style-type: none"> <li>- Annual Audit /Inspection Programme</li> <li>- Progress in Implementing the programme</li> <li>- Action Plans from audits and inspections</li> <li>- Progress in closing out actions)</li> </ul> </li> </ul>
	Accidents/ Abnormal incidents	
	Regulators Health and Safety (or Fire) Issues	
	Risk Assessment	
	Training	
	Inspection/ Audit	

11	<b>Actions for Improvement:</b>		<i>(Is the supplier developing any new ideas or expanding their service? Are they using new technology or considering a new development?)</i>
	Review of contract management process - frequency of meetings/ meeting environment/ methodology, etc.		
	*Innovations <i>(New product/ technology/ delivery process)</i>		
12	<b>AOCB</b>		
13	<b>Agree Date, Time and Location for next meeting:</b>		

<b>Attachments:</b>	<b><i>Add any related documents / reports as appropriate:</i></b>
	Meeting notes/actions from last meeting
	Supplier Scorecard
	Results of latest financial appraisal

#### Risks

	<b>Risk</b>	<b>Mitigating Action</b>	<b>Owner / Responsibility</b>	<b>Date</b>
1				
2				
3				

#### Issues

	<b>Issue</b>	<b>Resolution</b>	<b>Owner / Responsibility</b>	<b>Date</b>
1				
2				
3				

#### Actions

	<b>Summary</b>	<b>Status</b>	<b>Owner / Responsibility</b>	<b>Completion Date</b>
1				
2				
3				
4				

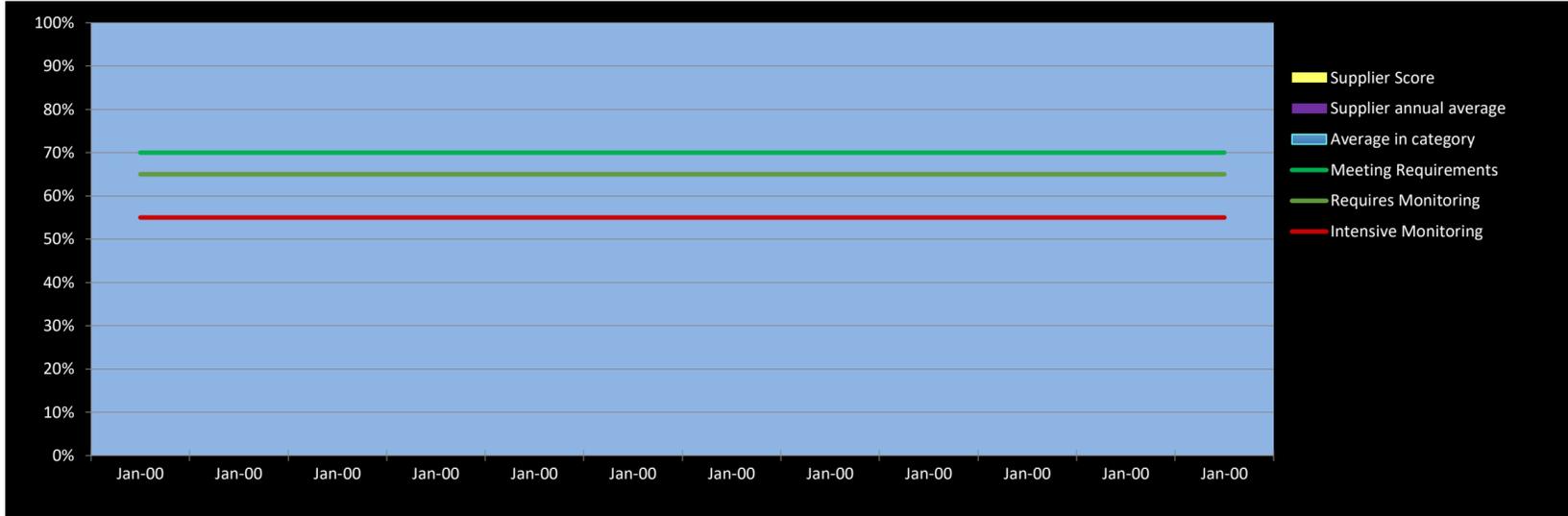
## Appendix 6

### Balanced Scorecard Template

#### Supplies

**SUPPLIER SCORE CARD INFORMATION**

Commodity												
Supplier:Supplier 1												
Contact: Buyer Name												
Date	Jan-00											
Supplier Score	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Supplier annual average	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Average in category												



## Supplies

### Your Contact Details

Name:   
 Category:   
 e-mail:   
 Contact Number:

### Contract Details

Contract Ref(s):  **or**  
 Supplier Name:   
 Supplier Contact:   
 Period of Review:

### Review Meeting Timelines

Date of Review:   
 Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose

Returns

Corporate Social Responsibility

Continual Improvement/Innovation

#### Service

Responsiveness

Complaints

Management Information

#### Delivery

Lead Time/Delivery Time

On Time delivery against Objectives

Accuracy

#### Cost

Pricing Stability

Invoice Accuracy

Cost Reduction Initiatives

Overall Score (Max 52) and percentage:  R/A/G\*  

0%	Insert Previous Score:	0	
----	------------------------	---	--

Average duration of payment terms to supply

Financial Stability Rating

**Key to Overall KPI Score & % Colour coding:**  
 Green = scoring 70% and above meeting requirements  
 Amber = scoring 56% - 69% requires monitoring  
 Red = score of less than 55% intensive monitoring

**Key to Overall KPI Comparison Colour coding:**  
 Green = Improved since last score,  
 Amber = Same score as before,  
 Red = Diminishing score

**Overall comments:**

**Lessons Learned:**

**Best Practice Considerations:**

## Supplies

### Your Contact Details

Name:   
 Category:   
 e-mail:   
 Contact Number:

### Contract Details

Contract Ref(s):  **or**  
 Supplier Name:   
 Supplier Contact:   
 Period of Review:

### Review Meeting Timelines

Date of Review:   
 Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%;" type="text"/>
On Time delivery against Objectives	<input type="text"/>	<input style="width: 100%;" type="text"/>
Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 52) and percentage:	<input type="text" value="0"/>	<b>0%</b>	<b>Insert Previous Score:</b>	<input type="text" value="0"/>	R/A/G*
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Average duration of payment terms to supply	<input type="text"/>	<input style="width: 100%;" type="text"/>
Financial Stability Rating	<input type="text"/>	<input style="width: 100%;" type="text"/>

**Key to Overall KPI Score & % Colour coding:**  
 Green = scoring 70% and above meeting requirements  
 Amber = scoring 56% - 69% requires monitoring  
 Red = score of less than 55% intensive monitoring

**Key to Overall KPI Comparison Colour coding:**  
 Green = Improved since last score,  
 Amber = Same score as before,  
 Red = Diminishing score

**Overall comments:**

**Lessons Learned:**

**Best Practice Considerations:**

## Supplies

### Your Contact Details

Name:   
 Category:   
 e-mail:   
 Contact Number:

### Contract Details

Contract Ref(s):  **or**  
 Supplier Name:   
 Supplier Contact:   
 Period of Review:

### Review Meeting Timelines

Date of Review:   
 Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 95%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 95%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 95%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 95%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 95%;" type="text"/>
On Time delivery against Objectives	<input type="text"/>	<input style="width: 95%;" type="text"/>
Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 95%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 95%;" type="text"/>

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### Review Meeting Timelines

Date of Review:   
 Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 52) and percentage:	<input type="text" value="0"/>	<b>0%</b>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Average duration of payment terms to supply	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall comments:

Lessons Learned:

Best Practice Considerations:

## Supplies

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

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### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

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Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 52) and percentage:	<input type="text" value="0"/>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center; background-color: red; color: white;">0%</td> <td style="width: 30%; text-align: center;">Insert Previous Score:</td> <td style="width: 10%; text-align: center;"><input type="text" value="0"/></td> <td style="width: 5%; text-align: center;">R/A/G*</td> <td style="width: 45%;"></td> </tr> </table>	0%	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*		
0%	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*					

Average duration of payment terms to supply	<input type="text"/>	<input style="width: 100%;" type="text"/>
Financial Stability Rating	<input type="text"/>	<input style="width: 100%;" type="text"/>

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**Overall comments:**

**Lessons Learned:**

**Best Practice Considerations:**

## Supplies

### Your Contact Details

Name:   
 Category:   
 e-mail:   
 Contact Number:

### Contract Details

Contract Ref(s):  or  
 Supplier Name:   
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 Period of Review:

### Review Meeting Timelines

Date of Review:   
 Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 95%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 95%;" type="text"/>
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Responsiveness	<input type="text"/>	<input style="width: 95%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 95%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 95%;" type="text"/>

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Lead Time/Delivery Time	<input type="text"/>	<input style="width: 95%;" type="text"/>
On Time delivery against Objectives	<input type="text"/>	<input style="width: 95%;" type="text"/>
Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 95%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 95%;" type="text"/>

Overall Score (Max 52) and percentage:  R/A/G\*

0%	Insert Previous Score:	<input style="width: 80%; text-align: center;" type="text" value="0"/>
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Average duration of payment terms to supply:

Financial Stability Rating:

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Overall comments:

Lessons Learned:

Best Practice Considerations:

## Supplies

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 95%;" type="text"/>
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#### Service

Responsiveness	<input type="text"/>	<input style="width: 95%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 95%;" type="text"/>
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Lessons Learned:

Best Practice Considerations:

## Supplies

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose



Returns



Corporate Social Responsibility



Continual Improvement/Innovation



#### Service

Responsiveness



Complaints



Management Information



#### Delivery

Lead Time/Delivery Time



On Time delivery against Objectives



Accuracy



#### Cost

Pricing Stability



Invoice Accuracy



Cost Reduction Initiatives



Overall Score (Max 52) and percentage:

<b>0%</b>	Insert Previous Score:	0	R/A/G*

Average duration of payment terms to supply



Financial Stability Rating



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e-mail:

Contact Number:

### Contract Details

Contract Ref(s):

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Date of Review:

Next Review Date:

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Score 1, 2, 3 or 4

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Fit for Purpose	<input type="text"/>	<input type="text"/>
Returns	<input type="text"/>	<input type="text"/>
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Responsiveness	<input type="text"/>	<input type="text"/>
Complaints	<input type="text"/>	<input type="text"/>
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#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input type="text"/>
On Time delivery against Objectives	<input type="text"/>	<input type="text"/>
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Pricing Stability	<input type="text"/>	<input type="text"/>
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Cost Reduction Initiatives	<input type="text"/>	<input type="text"/>

Overall Score (Max 52) and percentage:  R/A/G\*

0%	Insert Previous Score:	<input type="text" value="0"/>
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Average duration of payment terms to supply:

Financial Stability Rating:

**Key to Overall KPI Score & % Colour coding:**  
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Overall comments:

Lessons Learned:

Best Practice Considerations:

## Supplies

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose



Returns



Corporate Social Responsibility



Continual Improvement/Innovation



#### Service

Responsiveness



Complaints



Management Information



#### Delivery

Lead Time/Delivery Time



On Time delivery against Objectives



Accuracy



#### Cost

Pricing Stability



Invoice Accuracy



Cost Reduction Initiatives



Overall Score (Max 52) and percentage:

<b>0%</b>	Insert Previous Score:	0	R/A/G*

Average duration of payment terms to supply



Financial Stability Rating



Key to Overall KPI Score & % Colour coding:

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Lessons Learned:

Best Practice Considerations:

## Supplies

### Your Contact Details

Name:

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Contact Number:

### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose:

Returns:

Corporate Social Responsibility:

Continual Improvement/Innovation:

#### Service

Responsiveness:

Complaints:

Management Information:

#### Delivery

Lead Time/Delivery Time:

On Time delivery against Objectives:

Accuracy:

#### Cost

Pricing Stability:

Invoice Accuracy:

Cost Reduction Initiatives:

Overall Score (Max 52) and percentage:

Average duration of payment terms to supply:

Financial Stability Rating:

<b>0%</b>	<b>Insert Previous Score:</b>	<b>0</b>	R/A/G*

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#### Overall comments:

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## Supplies

### Your Contact Details

Name:

Category:

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### Contract Details

Contract Ref(s):

Supplier Name:  or

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose



Returns



Corporate Social Responsibility



Continual Improvement/Innovation



#### Service

Responsiveness



Complaints



Management Information



#### Delivery

Lead Time/Delivery Time



On Time delivery against Objectives



Accuracy



#### Cost

Pricing Stability



Invoice Accuracy



Cost Reduction Initiatives



Overall Score (Max 52) and percentage:

<b>0%</b>	<b>Insert Previous Score:</b>	<b>0</b>	R/A/G*

Average duration of payment terms to supply



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Overall comments:

Lessons Learned:

Best Practice Considerations:

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Quality	<b>Fit for purpose products</b>  SLA/KPI: - Supplying specified products - Providing specified service levels	The supplier frequently fails to supply goods and provide a service which meets the specification.	The supplier usually supplies goods and provides a service which is compliant with the specification.	The supplier consistently supplies goods and provides a service which is compliant with the specification.	The supplier consistently exceeds the specification in terms of the goods and the service provided.
	<b>Returns</b>  KPI - 100% reasons for returns provided	Goods frequently have to be returned due to a failure by the supplier.	Goods occasionally have to be returned due to a failure by the supplier.	Returns due to a failure by the supplier are infrequent.	Returns due to a failure by the supplier are rare and supplier actively works with customer to understand if there are other issues resulting in the return.
	<b>Corporate Social Responsibility</b>  Such as - Promotion of 'Green/Recycled' products - Opportunities to reduce number of deliveries (consolidate) - Initiatives that impact upon organisations green agenda	The supplier does not promote products or identify process improvements which have a positive contribution to CSR	The supplier responds to requests to promote products or identify process improvements which have a positive contribution to CSR	The supplier works with the buyer in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR	The supplier is proactive in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR
	<b>Continual Improvement/Innovation</b>  Such as - Identifying alternative products more suited to the requirements of users - Product rationalisation to expedite same function products	The supplier does not identify or work with the buyer in identifying opportunities to introduce or implement improvements in the delivery of the contract	There are some attempts by the supplier at identifying opportunities for continue improvement and innovation.	The supplier and buyer work together in identifying opportunities for continual improvement or innovation during the contract performance review process.	Innovation is embedded as part of the business culture, the supplier works with the buyer in actively seeking opportunities for continual improvement and innovation, and share the benefits.

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
<b>Service</b>	<b>Responsiveness</b> Such as: - Effective account management - queries dealt with/improvement suggestions made where appropriate - Effective customer service - queries dealt with promptly/appropriate information supplied - Notification of backorders (alternatives offered where appropriate) - Effective communication - supplier ensures there is regular contact and advises of any new products or additional service benefits	The supplier does not readily respond to enquiries or requests. The buyer is required to repeat requests. Communication between the supplier and buyer is virtually non-existent	Generally responses to enquiries or requests are dealt with timely, however there are occasions when these have to be repeated. Communication channels between the buyer and supplier are not as effective as they could be	Consistently good response to enquiries and requests. Buyer and supplier have effective communication channels.	Anticipates and responds to emerging requirements. Responses provide suggestions for improvement. Supplier is pro-active in ensuring effective communication channels.
	<b>Complaints</b> Such as: - Resolved by first point of contact	A large number of complaints are received from end-users and the supplier does not readily respond or take corrective action. Disputes have to be escalated, with no recognition by the supplier of the need to	There are only a small number of complaints or disputes, the response is usually positive and corrective action is taken if required, without the need to escalate.	Complaints or disputes are minimal, but are always dealt with effectively without the need to escalate and corrective action is taken if required.	The supplier is proactive in identifying potential areas where complaints or disputes may occur and works with the buyer in taking measures to mitigate against them.
	<b>Management Information</b> To be provided in the agreed format and within the agreed timeline with the specific organisation	The supplier does not provide the required Management Information in the agreed format and within the agreed timeline	Generally provides the required Management Information in the agreed format and within the agreed timeline	Consistently provides the required Management Information in the agreed format and within the agreed timeline	Anticipates and responds to ad-hoc Management Information whilst providing the required Management Information in the agreed format and within the agreed timeline

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Delivery	<b>Lead Time/Delivery Time</b>  NA	Identified target levels are not usually met.	Sometimes failure to meet the identified target levels	Meets the identified target levels	Routinely exceeds the identified target levels
	<b>On time Delivery Against Objectives</b>  NA	Deliveries and Returns do not usually meet the identified target levels.	Sometimes failure to comply with delivery and return schedule and identified target levels	Complies with delivery and returns schedule and identified target levels	Routinely exceeds compliance with delivery and returns schedule and target levels
	<b>Accuracy</b> NA	Deliveries are frequently inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Occasionally deliveries are inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Deliveries are always accurate - with delivery notes accurately reflecting what has been delivered and matching the purchase order.	Deliveries are always accurate, however the supplier is also proactive in identifying future problems and works with the buyer to mitigate against problems occurring.

Key Performance Area	(Optional) Performance Criteria Considerations	1.	2.	3.	4.
		Major Concerns	Minor Concerns	Meeting Expectations	Exceeding Expectations
Cost	<b>Pricing Stability</b> [Outwith agreed 12 month pricing reviews]	Prices are unstable, frequent changes to prices	Infrequent changes to prices but not as a result of the agreed price review.	Prices remain stable for the agreed period of time. Any changes have been previously communicated between Supplier/Council as a result of formal price reviews	Prices remain stable after the price review. Supplier actively manages pricing - passes on savings/extends time period for fixed pricing
	<b>Invoice Accuracy</b>  Such as - Promoting opportunities to improve invoice accuracy  SLA/KPI: - Invoice queries resolved within 24 hours	Invoices are frequently incorrect, invoices are unclear and queries are seldom resolved within 24 hours	Occasional problems with the accuracy of invoices, generally invoice queries are resolved within 24 hours	Invoices provide detailed, accurate cost information, queries seldom occur but are always resolved on the day they are raised.	The supplier is proactive in identifying opportunities to improve the invoice process to reduce error (cxml invoicing, pcards, punchout)
	<b>Cost Reduction Initiatives</b>  Such as: - Promoting with organisations the use of contracted products which offer better value - Promoting the use of consolidated invoicing - Promoting the use of consolidated ordering - Promoting and supporting the use of e-Procurement solutions (eg ePS, supplier ordering portals)	The supplier does not identify initiatives which could result in cost reductions being achieved.	The supplier responds to cost reduction initiatives which are suggested by the buyer.	The supplier fully co-operates with the buyers in suggesting and responding to cost reduction initiatives.	The supplier is proactive in identifying cost reduction initiatives and promoting best practice in order that they are realised.

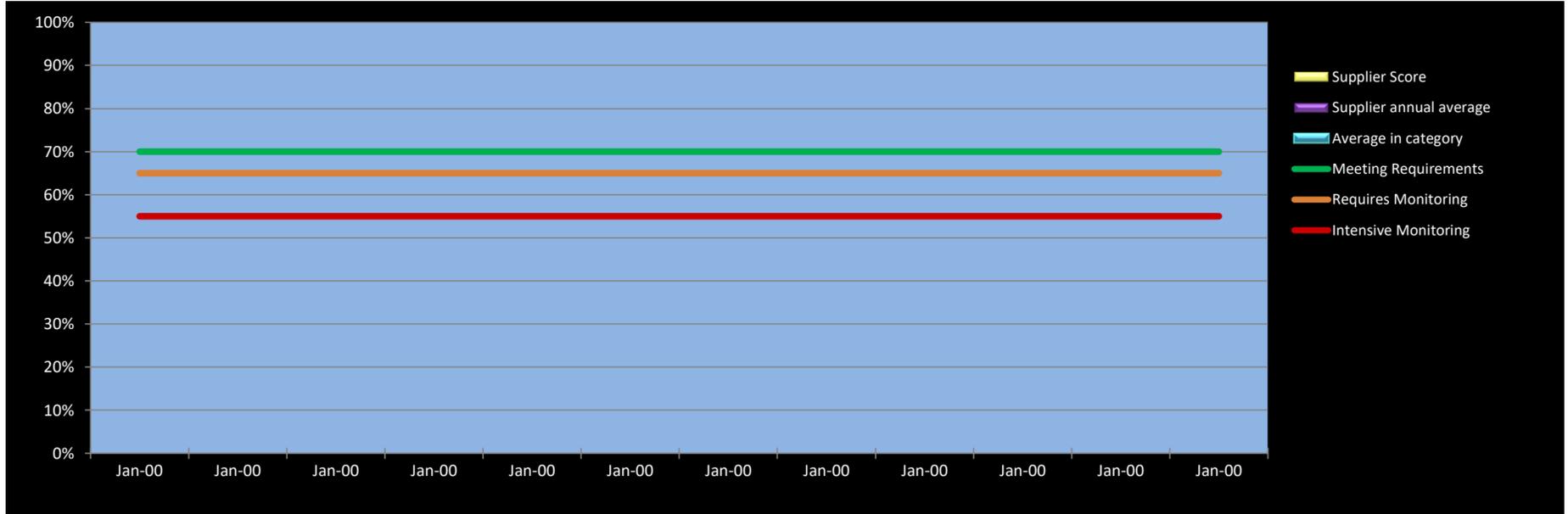
# Appendix 7

## Balanced Scorecard Template

### Services

**SUPPLIER SCORE CARD INFORMATION**

Commodity												
Supplier:Supplier 1												
Contact: Buyer Name												
Date	Jan-00											
Supplier Score	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Supplier annual average	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Average in category												



## Services

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):  or

Supplier Name:

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 95%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 95%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 95%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 95%;" type="text"/>
On Time delivery against Objectives	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 95%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 95%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<b>0%</b>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*	<input type="text" value=""/>
Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 95%;" type="text"/>				
Financial Stability Rating	<input type="text"/>	<input style="width: 95%;" type="text"/>				

Key to Overall KPI Score & % Colour coding:

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Key to Overall KPI Comparison Colour coding:

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Period of Review:

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Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 95%;" type="text"/>
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Cost Reduction Initiatives	<input type="text"/>	<input style="width: 95%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<b>0%</b>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*	<input style="background-color: yellow; width: 20px; height: 15px; display: inline-block; vertical-align: middle;" type="text"/>
Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 95%;" type="text"/>				
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Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
<b>Quality</b>	<b>Fit for purpose products</b>  SLA/KPI: - Supplying specified products - Providing specified service levels	The supplier frequently fails to supply goods and provide a service which meets the specification.	The supplier usually supplies goods and provides a service which is compliant with the specification.	The supplier consistently supplies goods and provides a service which is compliant with the specification.	The supplier consistently exceeds the specification in terms of the goods and the service provided.
	<b>Returns</b>  KPI - 100% reasons for returns provided	Goods frequently have to be returned due to a failure by the supplier.	Goods occasionally have to be returned due to a failure by the supplier.	Returns due to a failure by the supplier are infrequent.	Returns due to a failure by the supplier are rare and supplier actively works with customer to understand if there are other issues resulting in the return.
	<b>Corporate Social Responsibility</b>  Such as - Promotion of 'Green/Recycled' products - Opportunities to reduce number of deliveries (consolidate) - Initiatives that impact upon organisations green agenda	The supplier does not promote products or identify process improvements which have a positive contribution to CSR	The supplier responds to requests to promote products or identify process improvements which have a positive contribution to CSR	The supplier works with the buyer in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR	The supplier is proactive in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR
	<b>Continual Improvement/Innovation</b>  Such as - Identifying alternative products more suited to the requirements of users - Product rationalisation to expedite same function products	The supplier does not identify or work with the buyer in identifying opportunities to introduce or implement improvements in the delivery of the contract	There are some attempts by the supplier at identifying opportunities for continual improvement and innovation.	The supplier and buyer work together in identifying opportunities for continual improvement or innovation during the contract performance review process.	Innovation is embedded as part of the business culture, the supplier works with the buyer in actively seeking opportunities for continual improvement and innovation, and share the benefits.

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Service	<b>Responsiveness</b> Such as: - Effective account management - queries dealt with/improvement suggestions made where appropriate - Effective customer service - queries dealt with promptly/appropriate information supplied - Notification of backorders (alternatives offered where appropriate) - Effective communication - supplier ensures there is regular contact and advises of any new products or additional service benefits	The supplier does not readily respond to enquiries or requests. The buyer is required to repeat requests. Communication between the supplier and buyer is virtually non-existent	Generally responses to enquiries or requests are dealt with timely, however there are occasions when these have to be repeated. Communication channels between the buyer and supplier are not as effective as they could be	Consistently good response to enquiries and requests. Buyer and supplier have effective communication channels.	Anticipates and responds to emerging requirements. Responses provide suggestions for improvement. Supplier is pro-active in ensuring effective communication channels.
	<b>Complaints</b> Such as: - Resolved by first point of contact	A large number of complaints are received from end-users and the supplier does not readily respond or take corrective action. Disputes have to be escalated, with no recognition by the supplier of the need to	There are only a small number of complaints or disputes, the response is usually positive and corrective action is taken if required, without the need to escalate.	Complaints or disputes are minimal, but are always dealt with effectively without the need to escalate and corrective action is taken if required.	The supplier is proactive in identifying potential areas where complaints or disputes may occur and works with the buyer in taking measures to mitigate against them.
	<b>Management Information</b> To be provided in the agreed format and within the agreed timeline with the specific organisation	The supplier does not provide the required Management Information in the agreed format and within the agreed timeline	Generally provides the required Management Information in the agreed format and within the agreed timeline	Consistently provides the required Management Information in the agreed format and within the agreed timeline	Anticipates and responds to ad-hoc Management Information whilst providing the required Management Information in the agreed format and within the agreed timeline

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Delivery	Lead Time/Delivery Time NA	Identified target levels are not usually met.	Sometimes failure to meet the identified target levels	Meets the identified target levels	Routinely exceeds the identified target levels
	On time Delivery Against Objectives NA	Deliveries and Returns do not usually meet the identified target levels.	Sometimes failure to comply with delivery and return schedule and identified target levels	Complies with delivery and returns schedule and identified target levels	Routinely exceeds compliance with delivery and returns schedule and target levels
	Accuracy NA	Deliveries are frequently inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Occasionally deliveries are inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Deliveries are always accurate - with delivery notes accurately reflecting what has been delivered and matching the purchase order.	Deliveries are always accurate, however the supplier is also proactive in identifying future problems and works with the buyer to mitigate against problems occurring.

Key Performance Area	(Optional) Performance Criteria Considerations	1.	2.	3.	4.
		Major Concerns	Minor Concerns	Meeting Expectations	Exceeding Expectations
Cost	<b>Pricing Stability</b> [Outwith agreed 12 month pricing reviews]	Prices are unstable, frequent changes to prices	Infrequent changes to prices but not as a result of the agreed price review.	Prices remain stable for the agreed period of time. Any changes have been previously communicated between Supplier/Council as a result of formal price reviews	Prices remain stable after the price review. Supplier actively manages pricing - passes on savings/extends time period for fixed pricing
	<b>Invoice Accuracy</b>  Such as - Promoting opportunities to improve invoice accuracy  SLA/KPI: - Invoice queries resolved within 24 hours	Invoices are frequently incorrect, invoices are unclear and queries are seldom resolved within 24 hours	Occasional problems with the accuracy of invoices, generally invoice queries are resolved within 24 hours	Invoices provide detailed, accurate cost information, queries seldom occur but are always resolved on the day they are raised.	The supplier is proactive in identifying opportunities to improve the invoice process to reduce error (cxml invoicing, pcards, punchout)
	<b>Cost Reduction Initiatives</b>  Such as: - Promoting with organisations the use of contracted products which offer better value - Promoting the use of consolidated invoicing - Promoting the use of consolidated ordering - Promoting and supporting the use of e-Procurement solutions (eg ePS, supplier ordering portals)	The supplier does not identify initiatives which could result in cost reductions being achieved.	The supplier responds to cost reduction initiatives which are suggested by the buyer.	The supplier fully cooperates with the buyers in suggesting and responding to cost reduction initiatives.	The supplier is proactive in identifying cost reduction initiatives and promoting best practice in order that they are realised.

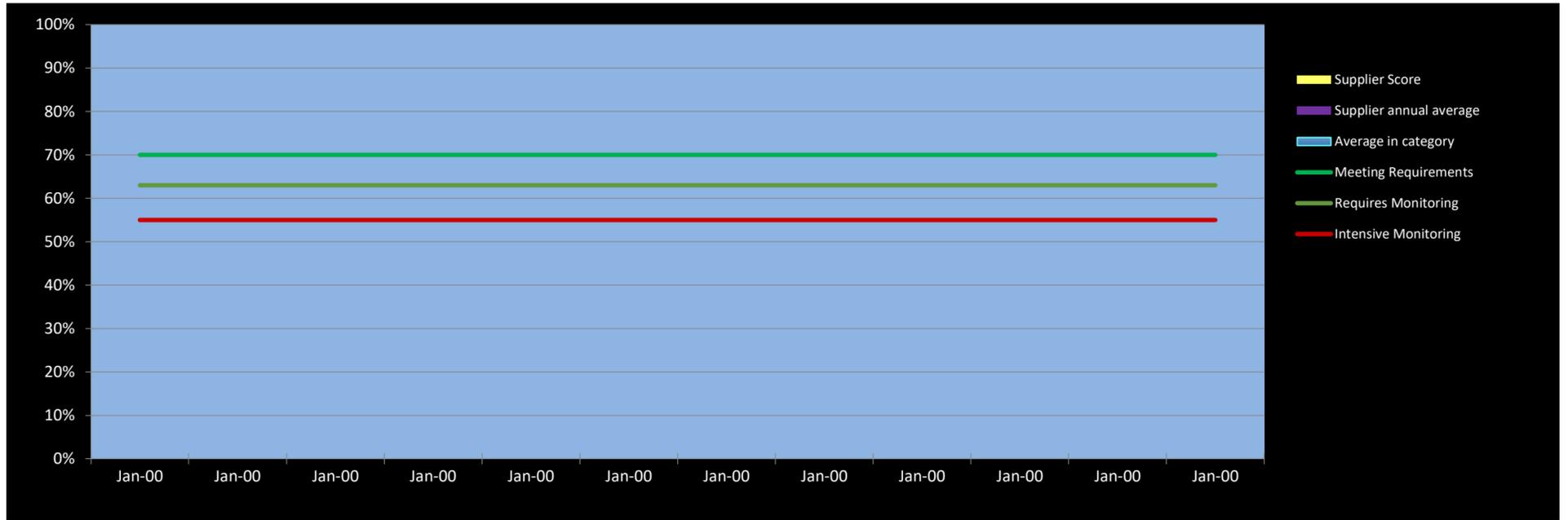
## Appendix 8

### Balanced Scorecard Template

Works

**SUPPLIER SCORE CARD INFORMATION**

Commodity												
Supplier:Supplier 1												
Contact: Buyer Name												
Date	Jan-00											
Supplier Score	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Supplier annual average	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Average in category												



# Works

## Your Contact Details

Name:

Category:

e-mail:

Contact Number:

## Contract Details

Contract Ref(s):  or

Supplier Name:

Supplier Contact:

Period of Review:

## Review Meeting Timelines

Date of Review:

Next Review Date:

## Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

### Quality

Fit for Purpose

Returns

Corporate Social Responsibility

Continual Improvement/Innovation

### Service

Responsiveness

Complaints

Management Information

### Delivery

Lead Time/Delivery Time

### Cost

Pricing Stability

Invoice Accuracy

Cost Reduction Initiatives

Overall Score (Max 44) and percentage:

0%	Insert Previous Score:	0	R/A/G*
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Average duration of payment terms to supply chain

Financial Stability Rating

Key to Overall KPI Score & % Colour coding:

Green = scoring 70% and above meeting requirements  
Amber = scoring 56% - 69% requires monitoring  
Red = score of less than 55% intensive monitoring

Key to Overall KPI Comparison Colour coding:

Green = Improved since last score,  
Amber = Same score as before,  
Red = Diminishing score

Overall comments:

Lessons Learned:

Best Practice Considerations:

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Contact Number:

### Contract Details

Contract Ref(s):  or

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Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 95%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 95%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 95%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 95%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 95%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 95%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 95%;" type="text"/>
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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 95%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 95%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 95%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<b>0%</b>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*	<input style="width: 95%;" type="text"/>
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Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 95%;" type="text"/>
Financial Stability Rating	<input type="text"/>	<input style="width: 95%;" type="text"/>

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#### Overall comments:

#### Lessons Learned:

#### Best Practice Considerations:

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Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%;" type="text"/>
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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

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Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%;" type="text"/>
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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Next Review Date:

### Scoring

Score 1, 2, 3 or 4

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#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Next Review Date:

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Score 1, 2, 3 or 4

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#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall Score (Max 44) and percentage:  

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Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose		
Returns		
Corporate Social Responsibility		
Continual Improvement/Innovation		

#### Service

Responsiveness		
Complaints		
Management Information		

#### Delivery

Lead Time/Delivery Time		
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#### Cost

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Invoice Accuracy		
Cost Reduction Initiatives		

Overall Score (Max 44) and percentage:  

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Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
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#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Delivery

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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
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Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%;" type="text"/>
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#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
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Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
-------------------------	----------------------	---

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%; height: 25px;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%; height: 15px;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*	<input style="width: 100%; height: 15px;" type="text"/>
--	--------------------------------	--	------------------------	--------------------------------	--------	---

Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Financial Stability Rating	<input type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

Key to Overall KPI Score & % Colour coding:

	Green = scoring 70% and above meeting requirements
	Amber = scoring 56% - 69% requires monitoring
	Red = score of less than 55% intensive monitoring

Key to Overall KPI Comparison Colour coding:

	Green = Improved since last score,
	Amber = Same score as before,
	Red = Diminishing score

Overall comments:

Lessons Learned:

Best Practice Considerations:

## Works

### Your Contact Details

Name:

Category:

e-mail:

Contact Number:

### Contract Details

Contract Ref(s):  or

Supplier Name:

Supplier Contact:

Period of Review:

### Review Meeting Timelines

Date of Review:

Next Review Date:

### Scoring

Score 1, 2, 3 or 4

Comments specifically relating to KPI:

#### Quality

Fit for Purpose	<input type="text"/>	<input style="width: 100%;" type="text"/>
Returns	<input type="text"/>	<input style="width: 100%;" type="text"/>
Corporate Social Responsibility	<input type="text"/>	<input style="width: 100%;" type="text"/>
Continual Improvement/Innovation	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Service

Responsiveness	<input type="text"/>	<input style="width: 100%;" type="text"/>
Complaints	<input type="text"/>	<input style="width: 100%;" type="text"/>
Management Information	<input type="text"/>	<input style="width: 100%;" type="text"/>

#### Delivery

Lead Time/Delivery Time	<input type="text"/>	<input style="width: 100%;" type="text"/>
-------------------------	----------------------	---

#### Cost

Pricing Stability	<input type="text"/>	<input style="width: 100%;" type="text"/>
Invoice Accuracy	<input type="text"/>	<input style="width: 100%;" type="text"/>
Cost Reduction Initiatives	<input type="text"/>	<input style="width: 100%;" type="text"/>

Overall Score (Max 44) and percentage:	<input type="text" value="0"/>	<input style="width: 100%;" type="text" value="0%"/>	Insert Previous Score:	<input type="text" value="0"/>	R/A/G*
--	--------------------------------	--	------------------------	--------------------------------	--------

Average duration of payment terms to supply chain	<input type="text"/>	<input style="width: 100%;" type="text"/>
Financial Stability Rating	<input type="text"/>	<input style="width: 100%;" type="text"/>

Key to Overall KPI Score & % Colour coding:

	Green = scoring 70% and above meeting requirements
	Amber = scoring 56% - 69% requires monitoring
	Red = score of less than 55% intensive monitoring

Key to Overall KPI Comparison Colour coding:

	Green = Improved since last score,
	Amber = Same score as before,
	Red = Diminishing score

Overall comments:

Lessons Learned:

Best Practice Considerations:

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Quality	<b>Fit for purpose products</b>  SLA/KPI: - Supplying specified products - Providing specified service levels	The supplier frequently fails to supply goods and provide a service which meets the specification.	The supplier usually supplies goods and provides a service which is compliant with the specification.	The supplier consistently supplies goods and provides a service which is compliant with the specification.	The supplier consistently exceeds the specification in terms of the goods and the service provided.
	<b>Returns</b>  KPI - 100% reasons for returns provided	Goods frequently have to be returned due to a failure by the supplier.	Goods occasionally have to be returned due to a failure by the supplier.	Returns due to a failure by the supplier are infrequent.	Returns due to a failure by the supplier are rare and supplier actively works with customer to understand if there are other issues resulting in the return.
	<b>Corporate Social Responsibility</b>  Such as - Promotion of 'Green/Recycled' products - Opportunities to reduce number of deliveries (consolidate) - Initiatives that impact upon organisations green agenda	The supplier does not promote products or identify process improvements which have a positive contribution to CSR	The supplier responds to requests to promote products or identify process improvements which have a positive contribution to CSR	The supplier works with the buyer in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR	The supplier is proactive in identifying opportunities to provide products or improve process improvements which have a positive contribution to CSR
	<b>Continual Improvement/Innovation</b>  Such as - Identifying alternative products more suited to the requirements of users - Product rationalisation to expedite same function products	The supplier does not identify or work with the buyer in identifying opportunities to introduce or implement improvements in the delivery of the contract	There are some attempts by the supplier at identifying opportunities for continual improvement and innovation.	The supplier and buyer work together in identifying opportunities for continual improvement or innovation during the contract performance review process.	Innovation is embedded as part of the business culture, the supplier works with the buyer in actively seeking opportunities for continual improvement and innovation, and share the benefits.

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Service	<b>Responsiveness</b>  Such as: - Effective account management - queries dealt with/improvement suggestions made where appropriate - Effective customer service - queries dealt with promptly/appropriate information supplied - Notification of backorders (alternatives offered where appropriate) - Effective communication - supplier ensures there is regular contact and advises of any new products or additional service benefits	The supplier does not readily respond to enquiries or requests. The buyer is required to repeat requests. Communication between the supplier and buyer is virtually non-existent	Generally responses to enquiries or requests are dealt with timely, however there are occasions when these have to be repeated. Communication channels between the buyer and supplier are not as effective as they could be	Consistently good response to enquiries and requests. Buyer and supplier have effective communication channels.	Anticipates and responds to emerging requirements. Responses provide suggestions for improvement. Supplier is pro-active in ensuring effective communication channels.
	<b>Complaints</b>  Such as: - Resolved by first point of contact	A large number of complaints are received from end-users and the supplier does not readily respond or take corrective action. Disputes have to be escalated, with no recognition by the supplier of the need to	There are only a small number of complaints or disputes, the response is usually positive and corrective action is taken if required, without the need to escalate.	Complaints or disputes are minimal, but are always dealt with effectively without the need to escalate and corrective action is taken if required.	The supplier is proactive in identifying potential areas where complaints or disputes may occur and works with the buyer in taking measures to mitigate against them.
	<b>Management Information</b> To be provided in the agreed format and within the agreed timeline with the specific organisation	The supplier does not provide the required Management Information in the agreed format and within the agreed timeline	Generally provides the required Management Information in the agreed format and within the agreed timeline	Consistently provides the required Management Information in the agreed format and within the agreed timeline	Anticipates and responds to ad-hoc Management Information whilst providing the required Management Information in the agreed format and within the agreed timeline

Key Performance Area	(Optional) Performance Criteria Considerations	1. Major Concerns	2. Minor Concerns	3. Meeting Expectations	4. Exceeding Expectations
Delivery	<b>Lead Time/Delivery Time</b> NA	Identified target levels are not usually met.	Sometimes failure to meet the identified target levels	Meets the identified target levels	Routinely exceeds the identified target levels
	<b>On time Delivery Against Objectives</b> NA	Deliveries and Returns do not usually meet the identified target levels.	Sometimes failure to comply with delivery and return schedule and identified target levels	Complies with delivery and returns schedule and identified target levels	Routinely exceeds compliance with delivery and returns schedule and target levels
	<b>Accuracy</b> NA	Deliveries are frequently inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Occasionally deliveries are inaccurate - wrong products, short delivery, delivery note does not match what was delivered.	Deliveries are always accurate - with delivery notes accurately reflecting what has been delivered and matching the purchase order.	Deliveries are always accurate, however the supplier is also proactive in identifying future problems and works with the buyer to mitigate against problems occurring.

Key Performance Area	(Optional) Performance Criteria Considerations	1.	2.	3.	4.
		Major Concerns	Minor Concerns	Meeting Expectations	Exceeding Expectations
Cost	<b>Pricing Stability</b> [Outwith agreed 12 month pricing reviews]	Prices are unstable, frequent changes to prices	Infrequent changes to prices but not as a result of the agreed price review.	Prices remain stable for the agreed period of time. Any changes have been previously communicated between Supplier/Council as a result of formal price reviews	Prices remain stable after the price review. Supplier actively manages pricing - passes on savings/extends time period for fixed pricing
	<b>Invoice Accuracy</b>  Such as - Promoting opportunities to improve invoice accuracy  SLA/KPI: - Invoice queries resolved within 24 hours	Invoices are frequently incorrect, invoices are unclear and queries are seldom resolved within 24 hours	Occasional problems with the accuracy of invoices, generally invoice queries are resolved within 24 hours	Invoices provide detailed, accurate cost information, queries seldom occur but are always resolved on the day they are raised.	The supplier is proactive in identifying opportunities to improve the invoice process to reduce error (cxml invoicing, pcards, punchout)
	<b>Cost Reduction Initiatives</b>  Such as: - Promoting with organisations the use of contracted products which offer better value - Promoting the use of consolidated invoicing - Promoting the use of consolidated ordering - Promoting and supporting the use of e-Procurement solutions (eg ePS, supplier ordering portals)	The supplier does not identify initiatives which could result in cost reductions being achieved.	The supplier responds to cost reduction initiatives which are suggested by the buyer.	The supplier fully cooperates with the buyers in suggesting and responding to cost reduction initiatives.	The supplier is proactive in identifying cost reduction initiatives and promoting best practice in order that they are realised.

## Appendix 9

### Balanced Scorecard Template

Works



Sharon Houston	0	0	0	0	0	0	0	0	0	0
Deborah McAlpine	1	1	1	1	1	1	1	1	1	1
Josephine McGee	2	2	2	2	2	2	2	2	2	2
Iain McLean	3	3	3	3	3	3	3	3	3	3
Carol Stevenson	4	4	4	4	4	4	4	4	4	4
Mhairi Walker	5	5	5	5	5	5	5	5	5	5
Pauline Walker	6	6	6	6	6	6	6	6	6	6
	7	7	7	7	7	7	7	7	7	7
	8	8	8	8	8	8	8	8	8	8
	9	9	9	9	9	9	9	9	9	9
	10	10	10	10	10	10	10	10	10	10

Red	Red
Amber	Amber
Green	Green

# Appendix 10

## Balanced Scorecard Template

### Education

BALANCED SCORECARD – EDUCATION

PARTNER/PROVIDER NAME	
SUPPORT VISIT SESSION	
DATE	
CONDUCTED BY	

PART 1	QI& H&SCCS	National standard	Comment	Next steps
<b>Vision, Values Aims</b>	<b>QI 1.3 Leadership of Change</b> <b>H&amp;SCS- 4.6, 4.19, 4.23</b>	<b>Sub-criteria 2.2</b> • Please detail your Vision, Values and Aims statement and describe how these are shared with your stakeholders.	<ul style="list-style-type: none"> <li>• Quality of leadership from management?</li> <li>• Vision, values and aims?</li> <li>• Is vision meaningful, annually refreshed and involve consultation with all stakeholders?</li> </ul>	
<b>SSESS SIP</b>	<b>QI 1.3 Leadership of Change</b> <b>H&amp;SCS- 4.8, 4.11</b>	<b>Sub-criteria 4.2</b> Describe your identified improvement priorities from your current improvement plan and the role of your practitioners in leading improvements within your setting.	<ul style="list-style-type: none"> <li>• Has setting provided a self-evaluation summary statement and improvement plan in line with local guidance?</li> <li>• Does management monitor the ELC and its plan for improvement with the ELC team?</li> </ul>	
<b>Practitioners CPL</b> 18 hours Teachers 12 hours NN's	<b>QI 1.2 Leadership of Learning</b> <b>H&amp;SCS- 3.14, 4.25</b>	<b>Sub-criteria 1.4</b> All SSSC registered staff in the setting are achieving a minimum of 12 hours per year of Continuous Professional Learning.	<ul style="list-style-type: none"> <li>• Is there a planned programme of CLPL for all practitioners linked to PR D?</li> <li>• Do practitioners attend CLPL opportunities – networks conference?</li> <li>• Is there a model of Distributive leadership to support improvements within the ELC setting?</li> </ul>	

<p><b>Ethos</b></p> <p><b>ASN</b> <b>GIRFEC</b></p>	<p><b>QI 3.1 Ensuring wellbeing, equality and inclusion</b></p> <p><b>H&amp;SCS- 1.1, 1.2, 1.15, 1.32</b></p>	<p><b>Sub-criteria 6.1</b> Describe how you ensure your setting complies. The setting must comply with the duties of the Equality Act 2010</p>	<ul style="list-style-type: none"> <li>• How does management work with practitioners to create a culture of inclusion and equality throughout the centre?</li> <li>• How does the centre support children's transition/dual placements?</li> <li>• Do management and practitioners promote health and wellbeing with the children in their care?</li> <li>• Do children have regular access to outdoor learning opportunities within the centre and in the local community?</li> <li>• Does the setting promote GIRFEC in the individual Care Plans of all children?</li> <li>• Are parents/ carers aware of application of Health Wellbeing indicators in every day practice?</li> <li>• How are care experienced children supported?</li> <li>• How does the centre support children with additional support needs?</li> <li>• Does the centre have a positive behaviour policy?</li> </ul>	
<p><b>Environment</b></p>	<p><b>QI1.5 Management of resources to promote equity</b> <b>H&amp;SCS- 5.19, 5.20, 5.21, 5.22</b></p>	<p><b>Sub-criteria 3.1</b> Care Inspectorate quality environments of good or better on the theme relating to quality of environment. How do settings meet these criteria?</p>	<ul style="list-style-type: none"> <li>• Are practitioners using a wide range of open-ended resources to promote curiosity, creativity and inquiry in young children's learning?</li> <li>• Are available resources used effectively?</li> <li>• Do resources/environment provide a motivating environment for learning both indoors and out?</li> </ul>	
<p><b>Resources</b></p>	<p><b>QI1.5 Management of resources to promote</b></p>			

	<p><b>equity</b></p> <p><b>H&amp;SCS-</b></p>	<p><b>Sub-criteria 3.2</b> Children have daily access to outdoor play and they regularly experience outdoor play in a natural environment as part of their funded ELC offer.</p>	<ul style="list-style-type: none"> <li>• Do resources offer a wide range of open ended materials which enable children to develop: <b>co-operation and responsibility, language skills, maths concepts, spatial reasoning and science concepts</b></li> <li>• How is Block Play used to promote curiosity, enquiry, creativity in children's learning experiences?</li> <li>• Describe the proposed spending of WLC resource funding in line with the guidance provided.</li> </ul>	
<p><b>Planning approach</b></p>	<p><b>QI 2.3 Learning Teaching and assessment</b></p> <p><b>H&amp;SCS- 2.27, 3.1</b></p>	<p><b>Sub-criteria 2.2</b> Please detail your Vision, Values and Aims statement and describe how these are shared with your stakeholders</p>	<ul style="list-style-type: none"> <li>• How is the ELC setting implementing the key messages from BtA</li> <li>• How is this impacting the pedagogy, play and relationships with children and families?</li> <li>• How are practitioners involving children in taking responsibility for leading and planning learning?</li> <li>• How do practitioners engage parents supporting children's learning?</li> </ul>	



		numeracy, health and wellbeing?		
<b>Child Protection Procedures</b>  <b>Current Status</b>	<b>QI 2.1 Safeguarding and Child Protection</b>	Is current information include in requested return		



<b>PART 2</b>	<b>Comment</b>	<b>Action</b>	<b>Update</b>
<b>Care Inspectorate Registration</b>	Is this Displayed on noticeboard		
<b>Care Inspectorate Report</b> Date and Gradings	Last inspection – ..... Gradings?		
<b>SSSC / GTC registrations for Manager and Practitioners</b>	Information included in termly update		
<b>Management and Staffing levels</b> <b>Contingency</b>	Information included in termly update.		
<b>Secure Entry System</b>	Observed		
<b>Health and Safety</b>	Is this discussed at meetings? Risk Assessments		

	discussed		
<b>Environmental Health/ Food Hygiene Training</b>	Discussed at meeting. Last inspection? requirements		
<b>Register of child attendance</b>			
<b>Insurance Certificates</b> £10M – Employers Liability - £10M – Public Liability £2M - Indemnity	Received		
<b>Business Continuity Plan</b>			

WLC EY Team Members

Arlene Black - Development Officer – EY

Sam McCulloch- ELC Support Manager- EY

Date:

Post Review	
Risk Rating	
Next contract monitoring review due	

West Lothian Council’s Role - (Audit Scotland 2012): Councils should carry out due diligence checks when contracting services from 3 rd. party providers. Councils have a role in monitoring the financial health of the contract.

**1: Meeting Details:**

Meeting Details	Attendees
Provider Name:	Name/Designation of WLC Link Officer:
Provider Address:	Names /Designation of other WLC Attendees:
Organisation Type:	Names/Designation of Provider Attendees:
Meeting Date:	Apologies:
Meeting Location:	
Previous review Date:	

**2. General Information and Matters Arising:**

Meeting Details	Insert relevant information below
Purpose of meeting:	
Matters Arising from previous review:	

<b>WLC Update:</b>	
--------------------	--

### 3. Contract Details:

Contract Details	Insert relevant information below
<b>3.1 Name and type of Services:</b>	
<b>3.1 Main service user group:</b>	
<b>3.3 Contract start and end date, including available extensions:</b>	
<b>3.4 Contract type (national, block, spot, cost and volume etc.)</b>	
<b>3.5 Contract Extension Applied:</b>	
<b>3.6 Contract annual value and frequency of payments:</b>	
<b>3.7 Invoice Issues:</b>	

### 4. Insurance and Indemnity:

Area	Received (Y/N)	Analysis/Confirmation of Information	Insert Policy Documents	Info/Action Required
<b>4.1 Public Liability (3rd Part) Insurance:</b>				
<b>4.1 Professional Indemnity Insurance:</b>				
<b>4.3 Employers Liability Insurance:</b>				

**5. Data Protection:**

Area	Received (Y/N)	Analysis / confirmation of information	Policy documents	Info/Action Required
<b>5.1 Data Protection Policy and Certificate:</b>				
<b>5.2 Copy of Data Processing Agreement or Information Sharing Protocol:</b>				

**6. Policies and Procedures**

Area	Date Reviewed	Analysis / Confirmation of updates	Insert Policy documents	Info/Action Required
<b>6.1 Adult Support and Protection:</b>				
<b>6.2 Critical Incident Reporting:</b>				
<b>6.3 Duty of Candour:</b>				
<b>6.4 Equal Opportunities:</b>				
<b>6.5 GDPR Regulation:</b>				
<b>6.6 Health and Safety:</b>				
<b>6.7 Medication:</b>				
<b>6.8 Recruitment:</b>				
<b>6.9 SPSO- Complaints Handling:</b>				

Area	Date Reviewed	Analysis / Confirmation of updates	Insert Policy documents	Info/Action Required
6.10 Staff Sickness absence:				
6.11 Terms of Employment: <ul style="list-style-type: none"> <li>• Scottish Living wage employer:</li> <li>• Fair work practices adhered to:</li> </ul>				
6.12 Winter Contingency Plan: <ul style="list-style-type: none"> <li>• Including business continuity plan and RAG rating for service users:</li> </ul>				
6.13 Others:				

### 7. Strategic Commissioning Links

Identify strategic relevance and the commissioning intentions from Care Group Commissioning Plan	Discussion	Info/Action Required

### 8. Performance and Quality

Theme	Discussion / Analysis of any update		Insert Document	Info/Action Required
8.1 Care Inspectorate:	Announced or Unannounced		Grade	
CS Registration No:	Date :			

Theme	Discussion / Analysis of any update		Insert Document	Info/Action Required
	Quality of Care and Support:			
	Quality of Staffing:			
	Quality of Management & Leadership:			
	Quality of Environment:			
	<ul style="list-style-type: none"> <li>• Enforcements:</li> </ul>			
	<ul style="list-style-type: none"> <li>• Requirements:</li> </ul>			
	<ul style="list-style-type: none"> <li>• Recommendations:</li> </ul>			
	<ul style="list-style-type: none"> <li>• Complaints:</li> </ul>			
	<p><i>NB: Post May 2019 format changing for older peoples care homes to format below. Adult care homes changing but date not announce. Use whichever format is appropriate to record and delete other).</i></p> <p><b>Date :</b> <b>Announced or Unannounced</b></p>	<b>Grade:</b>		
	1. How well do we support people's wellbeing?			
	2. How good is our leadership?			
	3. How good is our staff team?			
	4. How good is our setting?			
	5. How well is our care and support planned?			
	<ul style="list-style-type: none"> <li>• Enforcements:</li> </ul>			
<ul style="list-style-type: none"> <li>• Requirements:</li> </ul>				
<ul style="list-style-type: none"> <li>• Complaints:</li> </ul>				

Theme	Discussion / Analysis of any update	Insert Document	Info/Action Required
	<ul style="list-style-type: none"> <li>Recommendations</li> </ul>		
8.2 SSSC Registration status and registration category:			
8.3 Detail of Quality Assurance Systems in Place:			
8.4 Performance against agreed contract outcomes:			-
8.5 Self-assessment:			
8.6 Adult Support and Protection Concerns:			
8.7 Information in relation to complaints received from Care management:			
8.8 Information on Complaints made directly to provider:			
8.9 Staffing compliment:			
8.10 Contingency planning for staff shortages: e.g. Brexit impact, supply chain impact.			

## 9: Governance & Financial Information

Theme	Discussion / Analysis of any update	Insert Documents	Info/Action Required
9.1 Current Business Plan:			
9.2 Financial Statement regarding annual turnover, reserves, funding issues:			

Theme	Discussion / Analysis of any update	Insert Documents	Info/Action Required
9.3 Audited Accounts for period ..... (past year)			
9.4 Proposed Budget for period ..... (current year)			
9.5 Review of actual expenditure for ..... (year ahead)			

10: Actions from this meeting:

Outstanding Action Area	Task	Owner	Action Taken	Date Completed



## CONTRACT VARIATION TEMPLATE

<b>CONTRACT VARIATION</b> REF: <b>XXXX/XXXX</b>	<b>CONTRACT TITLE:</b>
<b>Date:</b> <b>XX/XX/XX</b>	<b>CORPORATE CONTRACT REFERENCE: CCXXXXXX</b>
	<b>CONTRACT TERM:</b>
Between West Lothian Council (hereafter called "The Authority") and the Contractor as defined below.	
<b>CONTRACTOR DETAILS</b>	Name:
<b>CONTRACTOR ADDRESS</b>	Street: Town: Post Code:
<b>DIRECT CONTACT DETAILS</b>	Name: Direct Dial : Email:

## Contract Variation Details (as selected)

<b>EXTENSION TO CONTRACT TERM</b>		From <b>XX/XX/XX</b> To <b>XX/XX/XX</b>	If YES, Number of Months <b>XX months</b>
<b>PRICE VARIATION</b>		Effective from <b>XX/XX/XX</b>	
<b>VARIATION to:</b> <b>PRODUCT LIST or SPECIFICATION</b>		Effective from <b>XX/XX/XX</b>	
<b>VARIATION to:</b> <b>CONTRACT TERMS AND CONDITIONS</b>		Effective from <b>XX/XX/XX</b>	
<b>Any revised price list, revised specification or revised terms and conditions must be attached to, and will form part of, this variation document.</b>			
<ul style="list-style-type: none"> <li>Variations to the above contract are applied in accordance with section 36 of the Conditions of Contract.</li> <li>Words and expressions in this variation shall have the meanings applied to them in the original contract.</li> <li>The contract, including any previous variations, shall remain effective and unaltered except as amended by this variation.</li> <li>The Parties agree that signatures to this Variation to Contract transmitted by electronic mail shall be valid and effective to bind the Party so signing. The Parties agree to deliver an execution original to this Variation to Contract with its actual signature to the other Party as soon as is practicable, having regard to Covid-19 restrictions, but a failure to do so shall not affect the enforceability of this Variation to Contract, it being expressly agreed that each Party to this Variation to Contract shall be bound by its own electronic signature and shall accept the electronic signature of the other Party to this Variation of Contract.</li> </ul>			

<b>Signed For the Authority:</b>	<b>Signed For the Contractor:</b>
----------------------------------	-----------------------------------

By:		By:	
Electronic Signature		Electronic Signature	
Actual Signature:		Actual Signature:	
Title:		Title:	
Date:		Date:	

**Attached Documents:** List below any documents that form part of this variation

**EXIT STRATEGY FOR [CONTRACT OR COMMODITY NAME]****Effective Date – [INSERT]****Review Date – [INSERT]****1. INTRODUCTION**

*[Complete highlighted areas and delete all red italic guidance notes]*

An exit strategy is necessary to identify possible risks, define potential losses and ensure continuity of services in the event of a planned or unplanned exit from a contract.

Exit strategies should be reviewed annually, or when significant change occurs. There are several considerations to be made when developing an exit strategy, including:

1. Continuing Service Requirements
2. Data Security and Privacy
3. Knowledge and Documentation Transfer
4. Property and Assets
4. People
5. Costs

These aspects should be considered in the context of the relevant contract terms which may be referenced where necessary.

This document sets out the high level Exit Strategy for the contract or commodity in the title. Note that this document is not an Exit Plan but should be used to inform one where an Exit Plan is to be formulated following an Exit Decision. Where required, an Exit Plan will be produced by the Contract Manager and will likely include specific timelines, resources and tasks allocated to managing an exit from a contract. Where appropriate, an Exit Plan may be incorporated within a relevant Project Plan or Sourcing Strategy for a replacement contract.

For the purposes of this strategy, a Planned Exit is an exit from a contract either by expiry or where a decision has been taken in advance either by the Council, or by the Council jointly with the Contractor, to terminate a contract in accordance with the relevant termination provisions on a specific date. An Unplanned Exit is an exit triggered by any other event.

**2. OUTLINE OF COMMODITY/CONTRACT**

**[Insert outline of relevant commodity or contract]**

### 3. CONTINUING SERVICE REQUIREMENTS

The following are service requirements that would be affected in the event of an exit.

Activity	Key Continuity Activity	Exit mitigation	Time to implement
[Insert Contract service element]	[is it essential the activity continues after the contract ends?] [Yes /No]	[Outline of approach to ensure continuity] [Insert exit mitigation]	[Estimated time to implement this could inform future sourcing strategy] [Insert timescale]
[Insert Contract service element]	[Yes /No]	[Insert exit mitigation]	[Insert timescale]

### 4. DATA SECURITY AND PRIVACY

The data security and privacy aspects of the commodity/contract are;

*[Assess each aspect for this and following sections. For reference Personal Data means any Data that can be used to identify a living individual. Sensitive Personal Data means Personal Data including information on race, ethnicity, political opinion, religious belief, Trade Union membership, physical or mental health, sexual orientation, commission or alleged commission of an offence or proceedings or sentence relating to such. Council confidential information means any information provided by the Council with a classification of OFFICIAL-SENSITIVE.]*

Aspect	Status	Exit mitigation	Time to implement
The Contractor has access to Council IT systems	[Yes /No]	[exit mitigation]	[timescale]
The Council has access to Contractor IT systems	[Yes /No]	[exit mitigation]	[timescale]
Personal Data is processed or accessed by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Personal Data is stored in an electronic system by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Personal Data is stored in hard copy form by the Contractor	[Yes /No]	[exit mitigation]	[timescale]

Aspect	Status	Exit mitigation	Time to implement
Sensitive Personal Data is processed or accessed by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Sensitive Personal Data is stored in an electronic system by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Sensitive Personal Data is stored in hard copy form by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Council confidential information is processed or accessed by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Council confidential information is stored in an electronic system by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Council confidential information is stored in hard copy form by the Contractor	[Yes /No]	[exit mitigation]	[timescale]
Cash and Cheque Payments are processed by the Contractor on behalf of the Council	[Yes /No]	[exit mitigation]	[timescale]
Card Payments are processed by the contractor on behalf of the Council	[Yes /No]	[exit mitigation]	[timescale]

## 5. KNOWLEDGE AND DOCUMENT TRANSFER

The knowledge and document transfer aspects of the commodity/contract are:

Aspect	Status	Exit mitigation	Time to implement
Council Intellectual Property or is held or accessed by the Contractor	[Yes /No]	[ exit mitigation]	[ timescale]
Contractor Intellectual Property is held or accessed by the Council	[Yes /No]	[ exit mitigation]	[ timescale]
Knowledge transfer by the Contractor to the Council or appointed third party must take place prior to exit.	[Yes /No]	[ exit mitigation]	[ timescale]
Knowledge transfer by the Council to the Contractor or appointed third party must take place prior to exit.	[Yes /No]	[ exit mitigation]	[ timescale]
The Council holds Contractor Documents that must be returned or destroyed on exit	[Yes /No]	[ exit mitigation]	[ timescale]

Aspect	Status	Exit mitigation	Time to implement
The Contractor holds Council Documents that must be returned or destroyed on exit	[Yes /No]	[ exit mitigation]	[ timescale]

## 6. PROPERTY AND ASSET TRANSFER

The property and asset transfer aspects of the commodity/contract are:

Aspect	Status	Exit mitigation	Time to implement
The Contractor has use of Council premises in the delivery of the services	[Yes /No]	[ exit mitigation]	[ timescale]
The Contractor is responsible for utility and other bills in their use of Council property	[Yes /No]	[ exit mitigation]	[ timescale]
The Council has use of Contractor premises in the delivery of the services	[Yes /No]	[ exit mitigation]	[ timescale]
The Council is responsible for utility and other bills in their use of the Contractors premises	[Yes /No]	[ exit mitigation]	[ timescale]
The Contractor holds Council moveable assets that must be returned on exit	[Yes /No]	[ exit mitigation]	[ timescale]
The Council holds Contractor moveable assets that must be returned on exit	[Yes /No]	[ exit mitigation]	[ timescale]

## 7. PEOPLE

The people aspects of the commodity/contract are:

Aspect	Status	Exit mitigation	Time to implement
Transfer of Undertakings (Protection of Employment) regulations (TUPE) apply to the contract at exit	[Yes /No]	[ exit mitigation]	[ timescale]
At exit the service may be transferred in-house	[Yes /No]	[ exit mitigation]	[ timescale]
At exit the service may transfer to an Arms Length Organisation	[Yes /No]	[ exit mitigation]	[ timescale]
Specific dedicated resources will be required by the Council to manage the exit.	[Yes /No]	[ exit mitigation]	[ timescale]

Aspect	Status	Exit mitigation	Time to implement
Specific dedicated resources will be required by the Contractor to manage the exit.	[Yes /No]	[ exit mitigation]	[ timescale]

## 8. COSTS

In the event of a planned exit the following notice periods are applicable:

Contract period	Minimum notice by the Council	Minimum notice by the Contractor
Initial Term	[from contract data]	[from contract data ]
Extension Term	[from contract data]	[from contract data]
Exit transition period	[from contract data if exit transition period is included]	[ideally should not be able to trigger exit from a transition period]

In the event of a planned exit in accordance with the minimum notice periods above, the applicable directly recoverable contract costs are:

Contract period	Payable by the Council to the contractor	Payable by the Contractor to the Council
Initial Term	[calculate or estimate from contract data or note mechanism]	[calculate or estimate from contract data or note mechanism]
Extension Term	[calculate or estimate from contract data or note mechanism]	[calculate or estimate from contract data or note mechanism]
Exit transition period	[calculate or estimate from contract data or note mechanism]	[calculate or estimate from contract data or note mechanism]

In the event of a planned exit in accordance with the minimum notice periods above, the estimated exit costs, other than costs directly recoverable under the contract are:

*[These are risk costs, for the council they support the understanding of the true cost of exit and for the contractor, any costs that may be attempted to be recovered at exit. These may not be obvious or able to be estimated at the outset but should be reassessed at ongoing review points as risks become clearer]*

Cost element	Estimated to be incurred by the Council	Estimated to be incurred by the Contractor (*or replacement Contractor)
*Transfer of People	[estimate as far as practical]	[estimate as far as practical]
Management of Exit	[estimate as far as practical]	[estimate as far as practical]
Engagement of replacement contractor	[estimate as far as practical]	[estimate as far as practical]

## 9. STAKEHOLDERS AND COMMUNICATIONS

In the event of a planned exit by the council, the exit decision will be made by the following people.

Name	Department	Role in respect of the contract
[name]	[dept]	Contract Manager
[name]	[dept]	[Role]
[name]	[dept]	[Role]

The Contractor's contact in the event of an exit decision is;

<b>Name</b>	[contact details]
<b>Email address</b>	[contact details]
<b>Telephone</b>	[contact details]
<b>Address for written communications</b>	[contact details]

Following an exit decision the following internal stakeholders or stakeholder groups should be contacted in the communication of the exit decision.

*[Edit the following list as appropriate to the contract/commodity]*

Name or group	Contact email	Rationale
Procurement		( if not involved in exit decision)
Legal Services		( if legal support likely to be required )
Human Resources	HRadviceenquiries@argyll-bute.gov.uk	(If there is a transfer of service subject to TUPE)
Communications Team	Mark.Calder@argyll-bute.gov.uk	(If exit requires external media support)
Elected Members	memberserviceteam@argyll-bute.gov.uk	( If appropriate)
[name or group]	[Email]	[rationale]

[name or group]	[Email]	[rationale]
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Following an exit decision the following external stakeholders or stakeholder groups should be contacted in the communication of the exit decision.

Name or group	Contact email	Rationale
[name or group]	[Email]	[rationale]
[name or group]	[Email]	[rationale]
[name or group]	[Email]	[rationale]
[name or group]	[Email]	[rationale]
[name or group]	[Email]	[rationale]
[name or group]	[Email]	[rationale]

## 10. UNPLANNED EXIT

In the event of an Unplanned Exit the Contract Manager should use this Exit Strategy to inform a suitable Exit Plan appropriate to the circumstances of the exit insofar as the circumstances permit.

## 11. DOCUMENT CONTROL AND APPROVAL

Exit Strategy completion and approval details.

Version	Author	Issue date	Approved by	Approval date

## LESSONS LEARNED TEMPLATE

Ref	Date Created	Raised by	Description of Issue and Impact on Contract	Future Preventative Action

**General Questions to Consider:**

Ref	Question
1	What worked well and what didn't work?
2	What could be done differently?
3	What areas of the contract were most important to you and to the Council?
4	Were any innovations implemented and if so, what value-add did they deliver?
5	What were the total costs of the contract, including staff costs, and costs which were not anticipated at the planning stage?
6	The total savings achieved on contract value?
7	Any impact of the procurement or contract on the market?
8	Were there processes and/or practices used that could be improved upon or that are not needed at all?
9	Can ICT (Information and Communications Technology) systems be used in any way to improve performance?

**Additional Questions for Care and Support Services**

Ref	Question
1	The quality of the service and outcomes for people who use services and their carers?
2	The effectiveness of their assessment (at the planning stage) of the benefits and risks to people who use services and service delivery?
3	The effectiveness of its communication with, and the involvement of, people who use services and their carers?
4	The impact of the exercise on people who use services and their carers?
5	To what extent it helped to meet the requirements of the public sector equality duty?
6	Any impact of the exercise on the workforce?
7	In addition to the above activity, the expertise of the following external bodies can be utilised to ensure all aspects of the contract performance are scrutinized:  Healthcare Improvement Scotland <a href="http://www.healthcareimprovementscotland.org/">http://www.healthcareimprovementscotland.org/</a>  The Care Inspectorate <a href="https://www.careinspectorate.com/">https://www.careinspectorate.com/</a>

