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| **Sirona Medical Limited on behalf of NHS Collaborative Procurement Partnership** |
| **Compliance Review of CPP Clinical Staffing Framework** |
| **2017/18** |

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| **Executive Summary** |

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| **OVERALL ASSURANCE ASSESSMENT** | **PRINCIPLE REASONS FOR ALLOCATED ASSURANCE LEVEL** |
| The overall assessment for Sirona Medical Limited is:  **PASS** | * **Controls were generally operating in an appropriate fashion with 100% being the recorded compliance score on the non-critical criteria.** * **A “Pass” was awarded as all the critical criteria were considered to be operating in an effective manner.** |
| **RATIONALE AND SCOPE** | **ACTION POINTS** |
| To provide assurance that the supplying agencies comply with the terms and conditions of the contract under the framework and that consideration is made in relation to National rules and guidance as well as local policies and procedures.  A sample of 5 staff was selected as part of this review looking at circa 64 areas of compliance in addition to various policy related considerations. | |  |  |  |  | | --- | --- | --- | --- | | **Urgent** | **Important** | **Routine** | **Operational** | | **0** | **0** | **0** | **0** | |

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| **Management Action Plan in Order or Priority and Recommendations to achieve Compliance** |

| **Rec.** | **Test Area** | **Finding** | **Recommendation** | **Priority** |
| --- | --- | --- | --- | --- |
| No recommendations were identified. | | | | |

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| **Operational Effectiveness Matters** |

| **Ref** | **Test Area** | **Item** |
| --- | --- | --- |
| No operational effectiveness matters were identified. | | |

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| **Detailed Findings** |

**INTRODUCTION**

1. This review was carried out in 30th November 2017 as part of the planned compliance work for 2017/18

**BACKGROUND**

1. A broad range of controls governing compliance with recruitment and placement protocols were examined in respect of the framework agreement.

**MATERIALITY**

1. A sample of 5 staff was selected as part of this review looking at compliance in addition to various policy related considerations. In line with the agreed protocol 24 hours’ notice was provided before commencement with 75% of the sample provided at that stage with a further 25% being provided on the day of the review.

**KEY FINDINGS & ACTION POINTS**

1. The key control and operational practice findings that need to be addressed in order to strengthen the control environment are set out in the Management and Operational Effectiveness Action Plans. Recommendations for improvements should be assessed for their full impact before they are implemented.

**SCOPE AND LIMITATIONS OF THE REVIEW**

1. To provide assurance that the supplying agencies comply with the terms and conditions of the contract under the framework and that consideration is made in relation to National rules and guidance as well as local policies and procedures.

**DISCLAIMER**

1. The matters raised in this report are only those that came to the attention of the auditor during the course of the review which was based on the agreed CPP sample sizes and sampling techniques and are not necessarily a comprehensive statement of all the weaknesses non-compliances with the CPP agreement that may exist. This report has been prepared on an exception basis and does not list all areas checked and confirmed as being adequate and is solely for the CCP and the agency's management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

**ACKNOWLEDGEMENT**

1. We would like to thank staff for their co-operation and assistance during the course of our work.

**RELEASE OF REPORT**

1. The table below sets out the history of this report.

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| **Date report issued:** | 4th December 2017 |  |

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| **Appendix A - Failure Sheet** |

| **Candidate Reference** | **Failure Area** |
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| No failures were noted. | |