

# Dumfries and Galloway Health and Social Care Partnership Contract Monitoring and Quality Assurance Framework

## Adult Services

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# I. Context, Principles and Approach

## 1. Introduction

This Contract Monitoring and Quality Assurance Framework (referred to here as the Framework) sets out Dumfries and Galloway Health and Social Care Partnership's approach to managing adult health and social care services contracts and how we monitor the quality of the services delivered under these contracts. The contracts referred to here are adult services contracts commissioned and/or managed by the Strategic Planning and Commissioning Team. The Council or NHS is "the Purchaser" of services under this Framework and the services are those services delegated to the Integration Joint Board. This Framework updates and supersedes the Dumfries and Galloway Social Work Services Contract Management and Quality Assurance Framework dated 1 February 2016.

The approach set out in this document is based on best practice as outlined in 'Scottish Government's Social Care Procurement Journey'. Activity undertaken under the Framework supports the development and improvement of existing services and informs future commissioning of health and social care provision in Dumfries and Galloway.

The Framework has been designed to:

- allow for early identification and addressing of issues, concerns and risks
- focus resources where they are required most
- collect and record structured and consistent information across care groups
- promote robust monitoring of financial and governance arrangements in services
- support an open and honest dialogue with Providers.

The approach taken in practice to Contract Monitoring should be proportionate to the value of the contract, the risk to the organisation in the event of non-delivery of the service and the complexity of the service requirements.

Upon the award of a contract to a provider, a Commissioning Manager will be appointed who will be responsible for ensuring full compliance with the contract. The Commissioning Manager will be responsible for ensuring that any issues arising from the contract monitoring are dealt with promptly and in accordance with the terms and conditions of the contract. The Provider is required to co-operate with the monitoring activity under the terms and conditions of current contracts.

The Head of Strategic Planning will support the Commissioning Managers in the implementation of this Framework.

## **2. Services covered by the Framework**

The Framework covers contracts for health and social care services provided for working age adults and older people provided by the Third and Independent Sectors as per the Strategic Planning and Commissioning Team “List of Contracts”.

Service types covered by the Framework include:

- Care Homes
- Care at Home / Support
- Day Services
- Short breaks
- Carer Support Services
- Early Intervention and Prevention Services

A full list of contracts covered by this Framework is maintained and updated by the Strategic Planning and Commissioning Team.

## **3. Purpose of Contract Monitoring**

The purpose of contract monitoring is to determine if the contracted services continue to meet specific contractual and regulatory requirements and reflect best value in terms of both quality and price. It supports the purchaser and provider in identifying and managing risks which might affect Providers’ ability to deliver services and seeks to support continuous improvement. Given the increasing focus on delivering outcomes, the contract monitoring activity will seek evidence of an outcomes focussed approach by Providers and of outcomes delivered to people in receipt of services.

## 4. Principles of Contract Monitoring

Under this Framework contract monitoring will be:

- proportionate, with levels of monitoring based on risk analysis and the value of the contract
- equitable in approach for all Providers
- transparent in process and decision-making
- balanced and fair, ensuring that all significant information is considered
- supportive of Providers to action improvements, using enforcement measures only as a last resort.

## 5. Roles and Responsibilities

Monitoring contracts effectively requires a partnership approach. Partners have specific roles and remits within this as follows:

**Providers** are responsible for day to day care planning and service delivery for individual service users to meet the needs and deliver agreed outcomes for the people who use their services. Providers are responsible for governance, quality assurance and continuous improvement within their own services.

**Operations (e.g. Locality Teams)** are responsible for ensuring that the care and support for people who use services is appropriate, of a good quality and meeting the agreed outcomes for each person using the service. Operational staff retain lead responsibility for all practice including Adult Support and Protection related activity.

**Strategic Planning and Commissioning Team** is responsible for contracts and quality assurance functions and for commissioning and contract management activity.

- Contracts and Quality Assurance: co-ordinating the contract monitoring activity, analysing information from different sources, identifying issues and risks and producing contract monitoring reports.
- Commissioning and Contract Management involves ongoing engagement and communication with the provider throughout the life of the contract. This includes ensuring the service specification remains fit for purpose and that the service develops in line with changing needs, demands and requirements.

The Contracts and Quality Assurance staff with the relevant Commissioning Manager, and senior managers where appropriate, will decide on action required by the Provider as a result of contract monitoring activity. This will be done in discussion with the Provider.

Every contract will have a nominated Contract Manager. For most contracts the Contract Manager will be a Planning and Commissioning Manager within the Strategic Planning and Commissioning Team.

## **6. Reviewing the Framework**

This Framework document will be reviewed bi-annually.

Supporting documentation and forms used in seeking information from Providers and in recording contract monitoring information will continue to be developed.

Updated processes, procedures and forms will be implemented in practice as these become available out with the formal review timescale for the Framework.

## **2. Contract Monitoring Process**

### **7. Monitoring Contracts**

A key objective of contract monitoring is for the Health and & Social Care Partnership to have an ongoing knowledge and understanding of the quality, efficiency, effectiveness and sustainability of services being provided. Some of this is achieved through the ongoing business relationship between the Contract Manager and the Provider. The formal assessment of contract compliance and quality of the service delivered however is achieved through the Contract monitoring process.

The Contract monitoring process incorporates a range of activities including information gathering, scrutiny of records, and observation of practice and exploration of issues with the provider. There is a written record of each contract monitoring assessment.

## 8. A proportionate approach

Monitoring activity is proportionate to the contract value and the risks associated with the service provided.

“Risk assessment commences with a review of events that might effect the achievement of objectives. Effective risk identification requires arrangements for gathering evidence about new issues, existing issues and important changes that may pose future risks. Risk analysis considers the causes and consequences of those events, including the likelihood that those consequences can occur.”

*(Dumfries and Galloway Integration Joint Board Risk Management Strategy)*

Risks should be considered in the context of the “Risk Matrix”, and “Definitions of Severity of Impact” set out within IJB Risk Management Strategy. **(See Appendix 1)**

Higher value-higher risk services will have more in-depth monitoring than lower value-lower risk services. This will be reflected in the level of monitoring activity including the frequency of monitoring returns, the nature and detail of monitoring information requested and the level of follow up on issues with Providers.

Monitoring activity is informed by an analysis of identified issues and risks. The nature and level of engagement with each provider will be proportionate to this analysis.

This framework is based on a three-tiered approach in which services and applicable monitoring activity are based around the following broad levels:

**LEVEL 1:** High Value and /or High Risk

**LEVEL 2:** Medium Value and /or Medium Risk

**LEVEL 3:** Low Value and /or Low Risk

The following table sets out an overview of the categories and the contract monitoring approach applicable in each.

	<b>LEVEL 1: High Value/ High Risk</b>	<b>LEVEL 2: Medium Value /Medium Risk</b>	<b>LEVEL 3: Low Value/ Low Risk</b>
<b>Annual cost</b>	Over £100k	Over £10k	£10k and under
<b>Risk assessment: likelihood &amp; impact</b>	High Risk	Moderate Risk	Low Risk
<b>Regulated by Care Inspectorate</b>	Regulated	Non-Regulated	Non-Regulated
<b>Service types</b> <i>See contract list for details</i>	Care at Home; Care Homes Day Care Short breaks (Respite Care Services)	Day centres, Advocacy User-Carer Engagement-Support Employment Support Skills Development Non-regulated day services	Information, Advice, Support Services
<b>Contract monitoring activity: minimum</b>	At least twice a year Annual monitoring meeting Annual visit to service – office or delivery site	At least twice a year  Annual face to face meeting	Annual return 3 yearly face to face meeting
<b>Contract Monitoring Output</b>	Comprehensive assessment report with recommendations as appropriate	Summary assessment report with recommendations as appropriate	Letter to provider with recommendations as appropriate

## 9. Scheduled and Unscheduled Contract Monitoring

Monitoring is normally a planned, structured activity that involves an assessment of the service delivery and outcomes against the contract and service specification. Contract monitoring involves analysis of information about the service at regular intervals and includes a comprehensive annual evaluation of the service and service outcomes. This is set out in this Framework as “Scheduled Contract Monitoring”. Information about the service is taken from the Provider at agreed intervals and a minimum of once per year and there is a direct contact with the service to explore matters arising.

Routine information assessed will include:

- Staffing and management issues
- Service demand and delivery
- Outcomes
- Financial information
- Issues and risks

Matters arising for the Health and Social Care Partnership or for the Provider during the monitoring period are explored with the provider to provide an assessment of service and delivery and outcomes.

Contract monitoring activity is based on ongoing risk assessment. At times the Strategic Planning and Commissioning Team will initiate “Unscheduled Contract Monitoring Activity”. This unscheduled activity is primarily in response to issues or concerns which may be identified through a variety of sources such as:

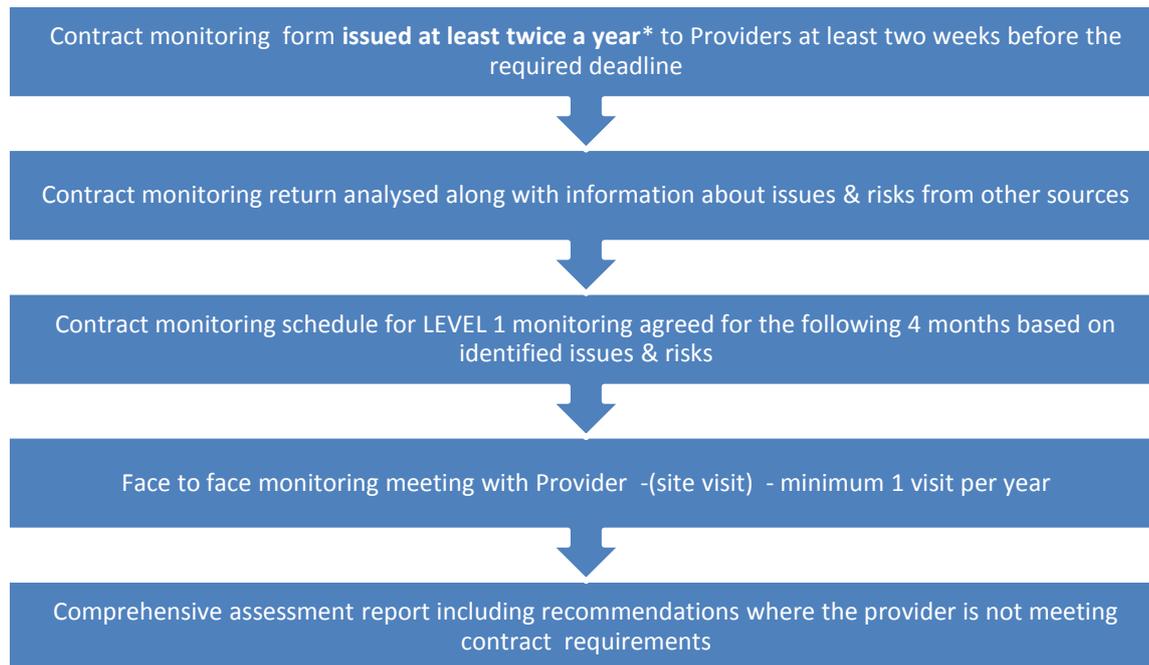
- Concerns raised by operational staff
- Information from the Care Inspectorate
- Complaints or concerns raised by Service Users, Carers or family members
- Adult Support and Protection issues
- Financial issues
- Provider notification

The nature, type and intensity of activity in “Unscheduled Contract Monitoring” will be relevant and proportionate to the issues and risks identified for the service at the time.

For the purpose of contract monitoring, risks will be categorised under three broad categories of “Low”, “Medium” and “High”. Determining the appropriate category will be consistent with Dumfries and Galloway Council and NHS Dumfries and Galloway’s Risk Management Policies. Risks will be assessed in terms of the likelihood that the risk will occur and the impact or severity that the risk will have if it occurs.

## 10. The Contract Monitoring Process

### 10.1 LEVEL 1 Contract Monitoring Process (*high value / high risk services*) (see *Appendix 2* – for detailed flowchart for LEVEL 1)



*Contract Monitoring Forms and the frequency of reporting will be reviewed to ensure that information required from Providers is proportionate, purposeful and useful to contract management.*

#### 10.1.1 LEVEL 1 Contract Monitoring Returns

The Strategic Planning and Commissioning Team will issue contract monitoring return forms to each provider for completion at least two weeks in advance of the required deadline.

The Provider contract monitoring return is designed to act as a trigger for identifying areas of concern for follow up. The Strategic Planning and Commissioning Team will analyse information submitted by Providers and will identify any concerns arising from the submissions. This information will:

- be reviewed by the nominated Contract Manager along with other intelligence available about the service at that time
- inform the priorities for contract monitoring activity and determine the timing, focus and level of engagement with the provider.

Issues arising from the contract monitoring return form will be discussed with Providers at Contract Monitoring Meetings. If the return identifies an area of concern, this will be

discussed with the Provider at the earliest opportunity in line with the risk management approach of this framework.

The contract monitoring return forms LEVEL 1 will include information about:

- Leadership and management: staffing, management; training, supervision and support.
- Sustainability: demand for services, service delivery, staff complement, capacity and changes.
- Financial information: income, expenditure and financial risks.
- Safety and Quality: issues and risks for the service, organisation or partnership; incidents and concerns, including Adult Support and Protection (ASP) concerns; complaints
- Outcomes: evidence of outcomes achieved for people who use services

#### 10.1.2 Contract Monitoring Meetings

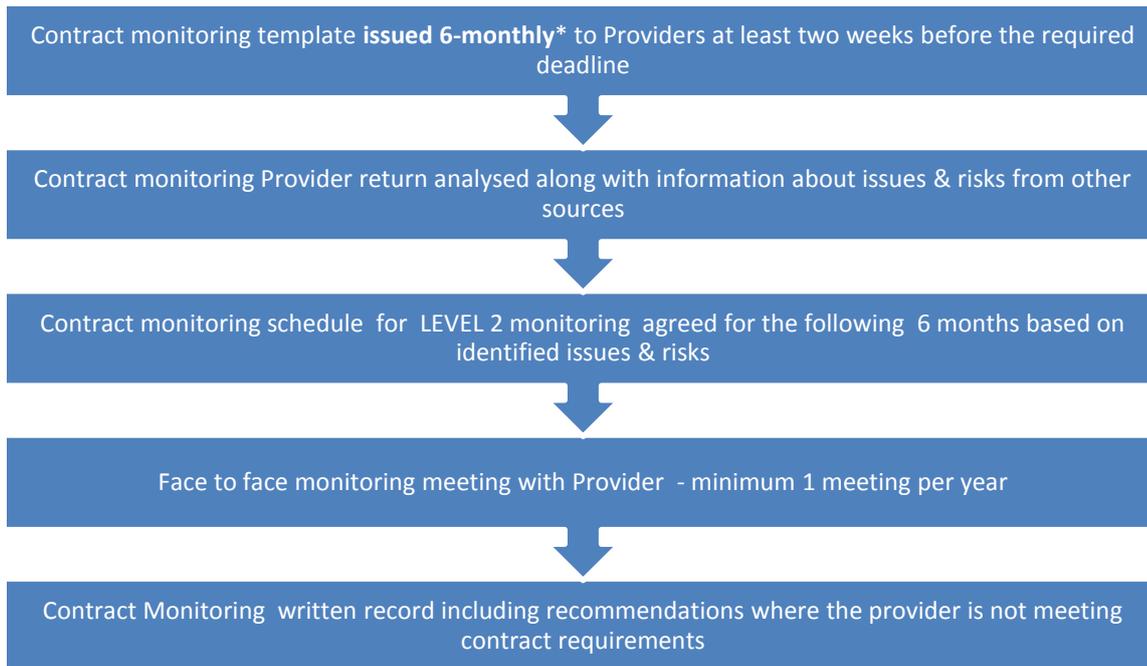
At LEVEL 1 at least one monitoring visit will be undertaken with each provider each year. Contract monitoring meetings will normally be arranged and conducted by staff from the Strategic Planning and Commissioning Team.

These meetings will build on the information from the provider's contract monitoring return. Evidence of current processes, practice and outcomes achieved will be sought and examined to enable the Strategic Planning and Commissioning Team to assess the Provider's compliance with the contract and the quality of the service provided.

#### 10.1.3 Contract Monitoring Recording

At LEVEL 1 the overall findings of the contract monitoring activity are written up into a contract monitoring report. This report will draw together key issues and risks from the provider return, site visit and other assessment information. It will highlight areas where the service is performing well and also if applicable where the provider is not meeting the requirements of the contract with recommendations for change and timescales for this to be achieved.

## 10.2 LEVEL 2 Contract Monitoring Process (*medium value / medium risk services*)



*Contract Monitoring templates and the frequency of reporting will be reviewed to ensure that information required from Providers is proportionate, purposeful and useful to contract management.*

### 10.2.1 Level 2 Contract Monitoring Returns

The Strategic Planning and Commissioning Team will issue contract monitoring return templates 6 monthly to each provider for completion at least two weeks in advance of the required deadline. This information

- forms an important part of the contract monitoring record of the service delivered by the Provider and will include information on activity and outcomes
- will be reviewed by the nominated contract monitoring officer along with other intelligence available about the service at that time
- will inform the priorities for contract monitoring activity and determine the timing, focus and level of engagement with the Provider.

The contract monitoring Provider return at LEVEL 2 will include information about the following:

- Staffing and management – complement, capacity and changes,
- Demand for services and service delivery including activity levels
- Outcomes for people who use services
- Feedback from people who use services
- Financial information

- Issues and risks for service, organisation or the partnership – including complaints

If the return identifies an area of concern, this will be discussed with the Provider at the earliest opportunity in line with the risk management approach of this framework.

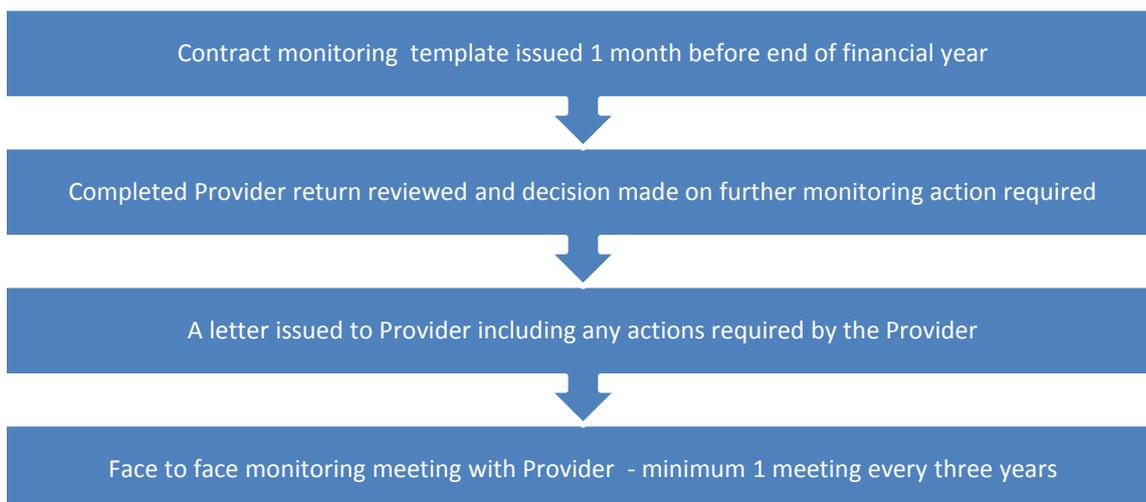
#### 10.2.2 Contract Monitoring Meetings

At LEVEL 2 at least one monitoring meeting will be undertaken with each provider each year at the Strategic Planning and Commissioning Team offices, Provider's office or on-site at a specific service as appropriate. These meetings will build on the information and matters arising from the Provider's contract monitoring return and will explore topics based on professional judgement, previous action planning and identified risks and issues. It is expected that the monitoring meetings will include members of the organisation's Board as well as paid members of staff.

#### 10.2.3 Contract Monitoring Recording

At LEVEL 2 the Provider return, notes of meetings, action plans and other documentation will be collated to form the formal contract monitoring record. This documentation will clearly reflect evidence of the Provider activity; outcomes achieved and agreed next steps.

### 10.3 LEVEL 3 Contract Monitoring Process (*low value/low risk services*)



### 10.3.1 LEVEL 3 Contract Monitoring Returns

At least one month before the end of each financial year a copy of a contract monitoring report template and/or relevant return form will be sent to the organisation to be monitored.

The contract monitoring return forms LEVEL 3 will include the following:

- Activity over the year to date
- Financial information
- Outcomes achieved for people using the service
- Feedback from people who use the service
- Issues and risks for the service or service delivery

One month should be given to the organisation to complete and return the monitoring report.

When the monitoring report has been returned, the contract monitoring officer will review the return

- If the report evidences satisfactory delivery of the service in line with the contract the monitoring officer should write to the provider to advise regarding findings and next steps.
- If the contract monitoring officer requires further information, they should contact the relevant lead person within the organisation being monitored. Notes of the further information sought and the outcomes of any discussion and agreed actions should be recorded along with the monitoring form. Once monitoring activity is completed the monitoring officer should write to the provider outlining findings and next steps.
- If monitoring activity indicates the service may not be delivering in line with the contract requirements, the contract monitoring officer should bring these concerns to the attention of the relevant commissioning manager for a decision regarding the next steps required.

A face to face discussion should be held with each Provider of low value and low risk services a minimum of once every three years.

## **11. Contract Monitoring Records**

The contracts and quality assurance lead will produce a written record of the contract monitoring activity including findings, key issues and a note of actions required to be taken by the provider. This will take the form of a letter, meeting notes, summary report or comprehensive assessment report in line with the contract monitoring activity undertaken. A copy of this will be sent to the provider within 4 weeks of the completion of the monitoring activity and a copy held in the Strategic Planning and Commissioning Records. Recording tools and contract monitoring reports will evolve over time. .

Evidence should be kept of:

- good or satisfactory performance to support the outcome of the contract monitoring report
- poor or unsatisfactory performance to develop a performance history to support continuous improvement. Records should be retained in line with the requirements of the Public Records (Scotland) Act 2014

## **12. Operational input to Contract Management**

The role of health and social work operational staff in contract monitoring activity is essential. Operational staff provides important feedback about Providers to the Strategic Planning and Commissioning Team about quality assurance issues that arise in practice. This may be specific to an individual but may be symptomatic of wider service issues in a service. This information from operational staff is normally provided by phone and email from operational staff to the Strategic Planning and Commissioning team as situations arise. Where there are known concerns about a service the contract monitoring officer will email locality staff to seek further information about issues and risks prior to contract monitoring visits to a service. A more robust approach needs to be developed with operational staff to ensure a consistent approach to capturing practice concerns and action taken in response to concerns. This is an area for improvement as part of the development of processes to support contract management and quality assurance under this framework.

### **13. Issues - Risk Log**

The Strategic Planning and Commissioning Team will maintain an issues and risk log where relevant intelligence about each service is logged centrally. This will include a note of follow up action required and action taken where appropriate.

### **14. Performance Management**

Evidence or indicators of poor or unsatisfactory performance should not be ignored. The Provider should be informed of the particular areas of the contract which are causing concern and given the opportunity to improve performance. The nominated Commissioning Manager should, through effective monitoring and management, work with the Provider to ensure that they meet contract requirements and continue to improve performance.

Follow up actions required of the Provider regarding areas for improvement need to be set out in writing. The Provider will need to develop an action plan to deliver improved performance to meet the required standards within a specified period to be agreed between the Provider and the Purchaser.

### **15. Escalation**

Issues and risks identified in the course of contract monitoring with providers need to be recorded and assessed with regard to follow up action required .

Contract monitoring staff should share key issues and risks identified through monitoring activity with their immediate line managers and agree follow up action required. Where there are significant or recurring or persistent quality issues, this should be escalated to the Head of Strategic Planning, relevant General Manager/Business Partner and other senior managers as appropriate.

Concerns that impact on the safety of people who receive services (including Adult Support and Protection concerns) should be shared immediately with the relevant operational health and social work staff.

Where practice concerns are of a serious (e.g. criminal activity) or persistent nature (e.g. significant practice failures impacting on the safety or protection of service users)

these should be escalated in the first instance to the relevant General Manager and other relevant senior operational managers. Managing and co-ordinating the response to serious practice concerns (e.g. Large scale investigations) is the responsibility of operational health and social care managers in health and social work. The Head of Strategic Planning should also be informed. Input from the Strategic Planning and Commissioning Team is focussed on advice and support on contractual and commissioning issues.

The following should also be escalated to the Head of Strategic Planning, the relevant General Manager/Business Partner and where appropriate the Chief Social Work Officer (CSWO):

- Media interest: where an issue may be subject to actual or potential media interest
- Political interest: where an issue is or may be subject to political interest
- Legal issues: alleged, confirmed or potential legal issues including significant breaches of contract.
- Criminal activity: alleged, confirmed or potential significant criminal activity by a staff member employed by the provider in the course of their work
- Serious Adverse Incidents: such as death or serious injury
- Serious Failures or Risks: serious failures or risk of serious failures by the provider
- Business Continuity risks: where the delivery of essential services is at risk
- Financial risks: where the viability of the service is a risk to the provider or escalating or projected costs relating to the service pose a financial risk to the partnership.

The requirement to escalate an issue or risk to the Chief Officer would be determined by the Head of Strategic Planning, General Manager or Chief Social Work Officer.

In exceptional circumstances as a result of a service failure it may be necessary to prepare an exit strategy and terminate the contract. This is a serious step and should not be considered unless there is clear documented evidence of service failure, under-performance such as an audit trail of meetings with the Provider where these issues have been raised and an action plan for improvement which has not been achieved.

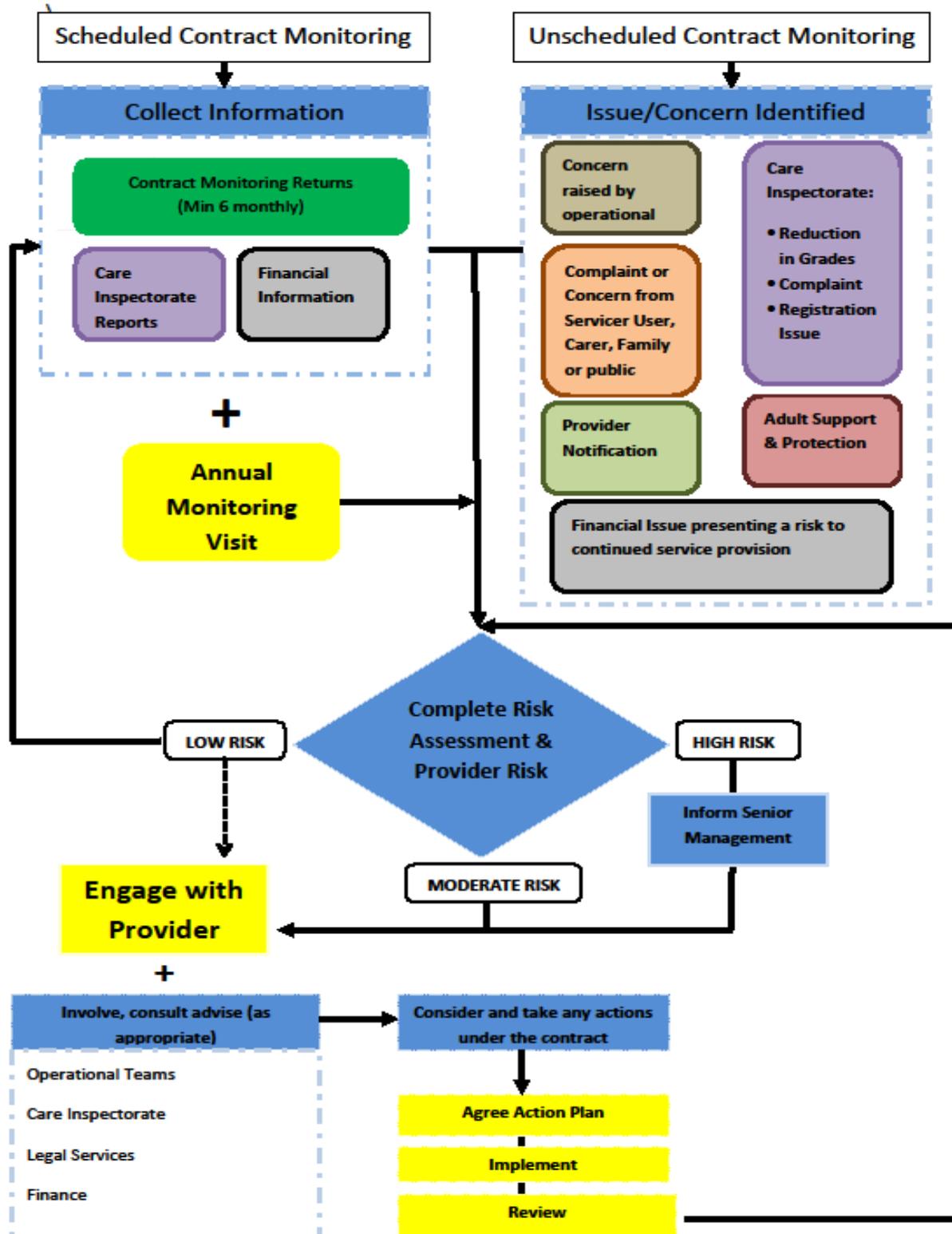
Termination of a contract should be discussed with the Head of Strategic Planning, relevant business partner and other senior manager within the partnership as appropriate prior to any action being taken. Termination must be in line with contract terms and conditions. Legal advice on termination and remedies for both parties in the event of an unplanned exit may also be required.

## **16. IJB Health and Care Governance Committee**

An annual report on contract monitoring under this Contract Management and Quality Assurance Framework will be submitted to the Health and Care Governance Committee.

Appendix 1

LEVEL 1: Contract Monitoring Flowchart



## Appendix 2

### List of Current Framework Documents:

- Contract monitoring Return Form
- Contract Monitoring Template – Care Homes
- Contract Monitoring Template – Care at home/support
- Contract Monitoring Template – Day services
- Contract Monitoring Template – Short breaks

**Note:** *these forms and templates are subject to review and update in line with practice developments and new forms will be added to the process as required*

## Appendix 3 – Level 1 Monitoring

Name of Provider/Service:

Monitoring Date:

Monitoring Meeting held at:

Attendees:

- Level and frequency of monitoring/risk assessment
  - 3 Contract Monitoring Returns (CMR) currently April, August, December, a risk analysis will be completed after each CMR based on risk indicators
  - At least 1 face to face visit per annum (unless concerns or more intervention required)
  - **Where no concerns have been identified through the Contract Monitoring Return (CMR) process these areas may not be covered during the face to face Contract Monitoring meeting.**
  - Where appropriate there may be an observational aspect to the monitoring meetings where Commissioning Officers may speak to staff, service users, visitors etc.

- **General Introduction and matters arising.** This is a general discussion where the service is given the opportunity to provide an update on provision, and C&QA ensure the following is covered:

*Please note that all information should correspond with the Service Policies and Procedures.*

General Discussion about service:

- Any changes (planned or unplanned) that may have taken place since the last monitoring meeting (e.g. changes to management, re-structure or re-model of the service, expansion of the service etc):
- Previous unmet Agreed Actions

Good practice, areas of concern or additional information:

### 2a. Service Users

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return, with prior returns also being reviewed prior to the meeting in order to identify any trends.

**Service Users –**

**Numbers, referrals, capacity etc.**

**Discuss where there is a concern raised through Contract Monitoring Returns.**

When meeting with the service identify if the service is running at capacity and where the majority of referrals come from.

*Highlight any areas of concern in relation to turnover.*

**Service User – Care/Support Plans/Outcomes Delivered**

2 service user care/support plans evidenced (Fwi number) and (Fwi number)

Service user details including preferred name, GP, NOK, notification to representatives, medical history

- Person centred care/support plans
- Social work outcomes (where possible link to outcomes identified in Frameworki).
- Individual outcomes
- Links to activities relevant likes and interests
- Details of how care/support is provided
- Guardianship/POA details
- End of life plan including DNR if applicable
- Risk Assessment check
- Service User Finances

Good practice, areas of concern or additional information:

New Care Standards

Choose an item.

### 2b. Reviews

Where a review planner has been provided with the last Contract Monitoring Return (CMR) compare dates to actual review paper work in care/support plans. If no review plan has been provided check that the 6 monthly reviews for the 2 identified service users have been completed.

- 6 monthly reviews have been evidenced in the 2 service user care/support plans

Good practice, areas of concern or additional information:

Choose an item.

### 2c. Incidents/Accidents

Evidence the following documentation and check that incidents and accidents are being reported to the Care Inspectorate as appropriate, (<http://www.careinspectorate.com/index.php/notifications>):

- Record of incidents/accidents reporting/auditing/actions taken in line with the Framework Agreement
- Reporting notifiable incidents/accidents to Care Inspectorate
- Missed visits (Care at Home)

Good practice, areas of concern or additional information:

Choose an item.

### 3. Satisfaction Surveys/Service user feedback

When meeting with the service the focus of the discussion should be centred on any recent satisfaction surveys and other forms of participation.

**No discussion required where there are no concerns identified through the CMR process and recent evidence has previously been provided.**

Where evidence has not previously been provided through the Contract Monitoring Returns, evidence the following documentation:

- Evidence previously provided
- Returned Satisfaction Surveys – evidence of who has filled in, check to see not all filled in by same person
- Evidence of an action plan/improvements (including where no negative comments have been received)

- Evidence of where service user feedback has shaped the service

Good practice, areas of concern or additional information:

Choose an item.

#### 4. Comments, compliments/complaints

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return findings, with prior submissions also being reviewed in advance of the meeting to identify any trends.

- Comments recorded  
 Compliments recorded  
 Complaints recorded  
 Outcomes being applied  
 Complaints/compliments has policy been updated since the last contract monitoring meeting. (Where a policy has been updated a copy is required.)

Good practice, areas of concern or additional information:

Choose an item.

#### 5. Adult Support & Protection

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return findings, with prior submissions also being reviewed in advance of the meeting to identify any trends. Information should be sought on how often either training, updates or refreshers are completed.

**No discussion required where no concerns have been identified through the CMR process.**

- Forms part of induction training  
 ASP training 80% compliant  
 Annual update/refresher  
 ASP policy has been updated since the last contract monitoring meeting. (Where a policy has been updated a copy is required.)

For AS&P cases that have progressed to the referral stage more information should be provided in relation to the detail of the Adult Support and Protection referral and whether there has been any changes to the service following ASP referral:

Good practice, areas of concern or additional information:

Choose an item.

#### 6a. Staffing

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return findings, with prior submissions also being reviewed in advance of the meeting to identify any trends. Where there are staffing shortages, identify if these are limiting the service (e.g. unable to take on additional packages).

- No staffing shortages  
 Staffing shortages but not limiting the service  
 Staffing shortages limiting the service  
 Agency staff used

Staff on long term sick/maternity leave

Good practice, areas of concern or additional information:

Choose an item.

### **6b. Supervision/Appraisal – Staff Development**

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return findings, with prior submissions also being reviewed in advance of the meeting to identify any trends.

This is an opportunity to discuss staff development, SVQ attainment (SSSC registration), types of training, staff disciplinaries. Discuss succession planning. Link training planner to files viewed (certificates etc).

Supervisions/Appraisals, at least 80% compliant

Good practice, areas of concern or additional information:

Choose an item.

### **6c. Training**

When meeting with the service the focus of the discussion should centre on the most recent Contract Monitoring Return findings, with prior submissions also being reviewed in advance of the meeting to identify any trends. Evidence of training records should be viewed if not previously submitted with Contract Monitoring Returns.

Discuss what initiatives the service is involved in.

No concerns with mandatory training and as detailed in Framework Agreement/National Care Home Contract

Good practice, areas of concern or additional information:

Choose an item.

### **6d. Recruitment**

Evidence the following documentation:

2 staff files -

Recruitment (including, PVG membership, references, SSSC register checked etc)

Hourly rate of £8.45 for care/support staff evidenced

Adhering to Safer Recruitment through Better Recruitment Guidelines and – policy updated to reflect. (Where a policy has been updated a copy is required.)

Good practice, areas of concern or additional information:

Choose an item.

### **7c. Care Inspectorate**

When meeting with the service the focus of the discussion should centre on the findings/actions from your most recent Care Inspection that have not already been addressed through this Monitoring meeting.

Good practice, areas of concern or additional information:

Choose an item.

**8a. Observations**

When meeting with the service the Commissioning Officer will (where appropriate) do observations at the service including, discussions with staff, service users and visitors to the service. Areas not covered above may be included in this section.

**Details of observations:**

Choose an item.

**Additional Information****Specific Service User concerns**

There may be specific concerns related to service users that was raised by the service or by council representatives. These concerns are separate from the discussion about numbers and how service providers gather feedback and should therefore be discussed separately here.

**Information from other sources**

This may be information that has come from other sources e.g. Social Work, Care Inspectorate, members of the public, NHS etc.

Feedback from service providers should also be considered.

**Any other competent business**

This section of the report should only include information in relation to any concerns that have not been covered elsewhere. This may include any additional contract management activities that has not been covered in other sections.

Agreed actions from this meeting (2 weeks from return of completed Monitoring Meeting report).	Date Required	Date Achieved

**Date returned:**

	Risk Analysis
1	Choose an item.
2a	Choose an item.
2b	Choose an item.
2c	Choose an item.
3	Choose an item.
4	Choose an item.
5	Choose an item.
6a	Choose an item.
6b	Choose an item.
6c	Choose an item.
6d	Choose an item.
7	Choose an item.
8	Choose an item.

Progress to CMR	<input type="checkbox"/>
Follow Up Action Required	<input type="checkbox"/>
Email Contact	<input type="checkbox"/>
Agreed Actions not returned	<input type="checkbox"/>
Details:	

<b>Date:</b>	
<b>Collaboration (finding more information)</b>	
<b>Commissioning Manager</b>	<input type="checkbox"/>
<b>Contracts Manager</b>	<input type="checkbox"/>
<b>Operational Social Work</b>	<input type="checkbox"/>
<b>AS&amp;P Team</b>	<input type="checkbox"/>
<b>Care Inspectorate</b>	<input type="checkbox"/>
<b>Other (Provide details)</b>	<input type="checkbox"/>
<b>Date of collaboration:</b>	
<b>Additional Comment/outcome:</b>	
<b>Follow up (further meeting or additional actions):</b>	
<b>Date:</b>	
<b>Escalate concern:</b>	<b>Who alerted</b>
<b>Date:</b>	
<b>Monitoring Meeting report completed date (to be completed within 4 weeks of face to face meeting:</b>	

## Appendix 4 – Survey Monkey Processes and Procedures

### **Contracts Coordinators are responsible for:**

Sending out initial emails to all (Level 1) regulated services which contain a link to a survey monkey, this link will be specific to the service and each service has a unique identifier that will be used by the provider when the electronic Contract Monitoring Return Form is completed.

These Monitoring forms are sent 1<sup>st</sup> April, 1<sup>st</sup> August and 1<sup>st</sup> December and should be fully completed by the provider within a 2 week timescale (15<sup>th</sup> of the month) unless otherwise agreed.

Contract Coordinators should work across both U65 and O65 services and work methodically in order of the date the completed form has been submitted.

The following below outlines the steps and processes.

#### **1. Correspondence with Services**

A generic email is sent to the provider which contains the link to the Monitoring Return Form; this email should be sent from the shared Contract Monitoring inbox [ContractMonitoring@dumgal.gov.uk](mailto:ContractMonitoring@dumgal.gov.uk) and using a generic team signature rather than individual. (Check that the email is being sent from that inbox and not your personal email). There are 5 different titled surveys that relate to specific services to allow for results to be collated under the type of service and they are:

- (Non-Specialist) Older People Care At Home
- (Non-Specialist) Older People Care Homes
- (Specialist) Adults Services
- Day Care
- (Specialist) Adults Short Breaks

#### **2. Correspondence with Social Work and Locality Managers**

An intelligence email is sent to Health and Social Work Locality Managers and Senior Social Workers (generic email and distribution list saved within G drive) this email should inform that we are undertaking contract monitoring and encourage operational staff to share any concerns they may have or good practice.

#### **3. Survey Monkey Website ([www.surveymonkey.com](http://www.surveymonkey.com))**

- Log in to the website using the log in details saved within the g drive (insert link)
- Open 1 of the 5 surveys to check if any have been completed by clicking on to the title of the survey
- Click analyse results and filter on the left by completeness, this should then only show completed surveys
- Check the oldest date and view the return
- You now need to categorise the return online by ticking the survey and above this on the left there will be an option to categorise (choose a colour and add name of Coordinator) this will allow all to see who is currently working on which survey at a glance and to halt any duplication of efforts right at the start
- If a survey has a colour and name at the start of the return title it has already been allocated.
- Using the unique identifier identify what the service is by using the CMR Log Contract Coordinators have 1 master log each.

[..\1.Master Templates\Lisa- Monitoring Log 1819.xlsx](#)

[..\1.Master Templates\Sharon- Monitoring Log 1819.xlsx](#)

- You should then save the survey by clicking export and then save this in the G Drive under the provider folder within the monitoring folder and period of return. This should be saved using the service title and period i.e. Access Art CMR3
- Once the survey return has been categorised/allocated, identified and saved the CMR log can be updated

#### **4. Contract Monitoring Return Log**

This has been created to provide the team with an overview of the ongoing work in progress, to avoid any duplication of efforts and to act as a tool for the Contract Coordinators or other members of the team as required. This log should be updated as they progress monitoring, noting any actions that have been undertaken and any risks that may have been identified.

This log has been created with drop down boxes for efficiency but will be subject to review and further recommendations/changes if required.

This log has all Level 1 contracts listed on the first tab and all Level 2/Level 3 contracts personally being monitored by the Contracts Coordinators only.

#### **5. Risk Assessment (RA)**

This form should be completed by using the completed return, evidence submitted and previous evidence from past returns. This should be completed using the drop down boxes and colour coded as stated within the RA and saved within the G Drive by provider, monitoring and period i.e. RA3. If a risk/concern has been highlighted this needs to be noted on the RA, under Other Relevant Information.

#### **6. Audit**

The master audit template should now be completed and updated by essentially copying and pasting from the RA (Risk Assessment). Leave comments/risks blank as this is for Commissioning Officers to update not Contract Coordinators.

#### **7. Avoiding Crossovers with Commissioning Officers**

Contract Coordinators should carry out all of the above processes and are encouraged to email and call the services to chase for evidence required as detailed in the CMR log; however they should not query any concerns they have with the evidence submitted. For example the Contract Coordinators should not investigate or pursue an issue identified and should instead note this on the Risk Assessment to highlight to the Commissioning Officers who will take responsibility for this action.

#### **8. Hard Copy Printing**

Once all the above has been actioned, a hard copy print out of the CMR should be passed to the Commissioning Officer along with any hard copy evidence that was posted. RA's should not be printed as the Commissioning Officer may need to alter these. The Commissioning Officers, if required can print Evidence/RA's/Audit etc. from the G drive.

**9. No return by the 15<sup>th</sup>**

Services that have not sent their Monitoring Return by the 15<sup>th</sup> should be sent an email from the Contract Monitoring mailbox, in line with point 1. The return log will identify those Services this applies to. There is an email text to be used and a timeframe of when these apply, please see [.\1.Master Templates\Level 1\Level 1- Emails to providers.docx](#)

**10. Maintaining shared mailbox**

Any evidence emailed to the shared mailbox should be saved in the G drive, by provider (unique ID) and saved in Monitoring; Period of return (e.g.CMR3). Once this has been saved and you have emailed the provider to thank them the email should be deleted.



Survey Monkey-  
Blank Proforma 1718.

## Appendix 4 - Provider Monitoring Return - Report Template LEVEL 2 DAY CENTRES

The monitoring report should reflect the level of spend and complexity of the service provided. Information contained in these reports should also reflect the required service delivery and performance requirements as detailed in the service specification.

Other documents outlining activity, performance data outcomes achieved or other information relevant to the monitoring return can be submitted with this report.

This report and other information returned will inform the agenda for the next monitoring meeting.

**TITLE: Name of organisation**

**Date:**

<b>1. Introduction</b>
Summary of purpose of the service:
Aims of the service:
Objectives of the Service:

<b>2. Service Users</b>					
Days the Centre is open: <input type="checkbox"/> Mon <input type="checkbox"/> Tues <input type="checkbox"/> Wed <input type="checkbox"/> Thurs <input type="checkbox"/> Friday					
Total number registered with the centre:					
Breakdown by age group older people's service:		55-64	65-74	75-84	85+
Average attendance:	Mon	Tues	Wed	Thurs	Fri
Average attendance over reporting period		Highest daily attendance over reporting period		Lowest daily attendance over reporting period	

Number of attendees for 1 or more days:	1 day	2 days	3 days	4 days	5 days
Sources of referrals:					

### 3. Service update

Service activity:

Management/Staffing:

### 4. Service delivery against the requirements of the Contract / Services

Impact and Outcomes achieved, including (where applicable) the number of Outcomes Stars completed, including frequency:

Performance data – notes any key performance targets – met / unmet:

Separate monitoring information attached as appropriate, including Outcome Star report:

### 5. Involvement of people who use the service

Details of how service users participate in the service e.g. satisfaction surveys, comment cards:

Feedback from people who use the service:

**6. Issues and risks**

Issues and risks:

**7. Finance**

Information on income and expenditure (please provide audited accounts if available):

Opportunities and Challenges:

Finance report:

Comments and Complaints:

Additional funding:

**8. Contract issues****9. Next steps**

Current priorities:

Planned developments:

<b>Annex 1 - Organisation's operational policies:</b>		
Please indicate those policies that apply to your organisation. Access to these may be requested. Where you do not have a policy in place please give the reason at the end.		
<b>Policy</b>	<b>YES</b>	<b>NO</b>
Recruitment and selection process		
Volunteering policy		
Equal opportunities policy		
Discipline and grievance procedures including gross misconduct list: <a href="#">Grievance and disciplinary</a> (factsheet from ACAS)		
Supervision policy		
Performance appraisal procedure and policy		
Dignity at work including <a href="#">Harassment and bullying</a> (CIPD factsheet)		
Code of conduct - organisational 'rules' specific to your organisation		
Annual leave including public holidays, carrying forward leave, requesting holiday, pro rata entitlement for part-time staff		
Sickness absence including pay rates, reporting arrangements, monitoring absence, dealing with short/long term absence		
Rules regarding other types of absence including unauthorised absence		
Family policies including parental rights such as maternity, paternity, adoption, parental, dependent's leave <a href="#">Maternity leave</a> (ACAS)		
Non-statutory family domestic, Carers and compassionate leave rules		
Bereavement leave		
Statutory rules on retirement		
Statutory flexible working arrangements		
<a href="#">Health &amp; Safety</a> (where five or more staff are employed)		
Finance (internal financial procedures including money laundering under the Proceeds of Crime Act), investments and reserves		
Pay and pensions information including the treatment of deductions from pay		
Living wage policy		
Board responsibilities, conduct at board meetings, composition of the board and committees and the selection of new trustees, role profiles, confidentiality, speaking to the media, conflict of interest, etc		

Adult Support & Protection policy		
Training policy		
Data protection		
Records Management Policy		
Risk Management		
<b>Where you do not have a policy in place please give the reason:</b>		

## Appendix 5 - Provider Monitoring Return - Report Template LEVEL 2

The monitoring report should reflect the level of spend and complexity of the service provided. Information contained in this report should also reflect the required service delivery and performance requirements as detailed in the service specification.

Other documents outlining activity, performance data outcomes achieved or other information relevant to the monitoring return should be submitted with this report.

This report and other information returned will inform the agenda for the next monitoring meeting.

**Name of organisation:**

**Contact details:**

<b>1. Introduction</b>
Summary of purpose of the service:
Aims of the service
Objectives of the Service
Current Funding Arrangements

<b>2. Service update</b>
Service/Project activity
Management/Staffing

<b>3. Service delivery against the requirements of the Contract / Service Agreement</b>
Impact and Outcomes achieved
Performance data - notes any key performance targets – met/unmet

Additional monitoring information attached as appropriate

#### **4. Involvement of people who use the service**

Nature of the involvement

Feedback from people who use the service

#### **5. Issues and risks**

Issues/risks from meeting or prior information

Opportunities and Challenges

Comments, Compliments and Complaints

#### **6. Finance**

Information on income and expenditure

Finance report

Additional funding

#### **7. Contract/Service Agreement issues**

**8. Other information**

Please complete Annex 1 – Organisation's Operational Policies Checklist- see overleaf.

**9. Next steps**

Current priorities

Planned developments

Monitoring Report completed by: \_\_\_\_\_ Date: \_\_\_\_\_

**Annex 1 - Organisation's operational policies:**

Please indicate those policies that apply to your organisation. Access to these may be requested. Where you do not have a policy in place please give the reason at the end.

<b>Policy</b>	<b>YES</b>	<b>NO</b>
Recruitment and selection process		
Volunteering policy		
Equal opportunities policy		
Discipline and grievance procedures including gross misconduct list: <a href="#">Grievance and disciplinary</a> (factsheet from ACAS)		
Supervision policy		
Performance appraisal procedure and policy		
Dignity at work including <a href="#">Harassment and bullying</a> (CIPD factsheet)		
Code of conduct - organisational 'rules' specific to your organisation		
Annual leave including public holidays, carrying forward leave, requesting holiday, pro rata entitlement for part-time staff		
Sickness absence including pay rates, reporting arrangements, monitoring absence, dealing with short/long term absence		
Rules regarding other types of absence including unauthorised absence		
Family policies including parental rights such as maternity, paternity, adoption, parental, dependent's leave <a href="#">Maternity leave</a> (ACAS)		
Non-statutory family domestic, Carers and compassionate leave rules		
Bereavement leave		
Statutory rules on retirement		
Statutory flexible working arrangements		
<a href="#">Health &amp; Safety</a> (where five or more staff are employed)		
Finance (internal financial procedures including money laundering under the Proceeds of Crime Act), investments and reserves		
Pay and pensions information including the treatment of deductions from pay		
Living wage policy		
Board responsibilities, conduct at board meetings, composition of the board and committees and the selection of new trustees, role profiles, confidentiality, speaking to the media, conflict of interest, etc		
Adult Support & Protection policy		
Training policy		
Data protection		
Records Management Policy		
Risk Management		

**Where you do not have a policy in place please give the reason:**

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## Appendix 6 - Contract Monitoring Checklist: Level 2

To be completed on receipt of Monitoring Report

Area	Detail	Yes	No	Comment
1. Introduction	<ul style="list-style-type: none"> <li>Summary of purpose, aims, objectives of the service:</li> </ul>			
	<ul style="list-style-type: none"> <li>Current funding</li> </ul>			
2. Service Update	<ul style="list-style-type: none"> <li>Service/Project activity</li> </ul>			
	<ul style="list-style-type: none"> <li>Management/Staffing</li> </ul>			
3. Service Delivery against the requirements of the contract	<ul style="list-style-type: none"> <li>Impact and Outcomes achieved</li> </ul>			
	<ul style="list-style-type: none"> <li>Performance data - notes any key performance targets – met/unmet</li> </ul>			
	<ul style="list-style-type: none"> <li>Separate monitoring information attached as appropriate</li> </ul>			
4. Involvement of people who use the service	<ul style="list-style-type: none"> <li>Nature of the involvement</li> </ul>			
	<ul style="list-style-type: none"> <li>Feedback from people who use the service</li> </ul>			
5. Issues and risks	<ul style="list-style-type: none"> <li>Issues/risks from meeting or prior information</li> </ul>			
	<ul style="list-style-type: none"> <li>Opportunities and Challenges</li> </ul>			
	<ul style="list-style-type: none"> <li>Comments and Complaints</li> </ul>			
6. Finance	<ul style="list-style-type: none"> <li>Information on income and expenditure</li> </ul>			
	<ul style="list-style-type: none"> <li>Finance report</li> </ul>			
	<ul style="list-style-type: none"> <li>External funding</li> </ul>			
7. Contract issues				
8. Other information	<ul style="list-style-type: none"> <li>Operational Policies checklist completed</li> </ul>			

9. Next steps	• Current priorities			
	• Planned developments			

Appendix 7

CONTRACT MONITORING MEETING

Level 2 {Provider, Service}

Held on: {DD/MM/YY}

Place Held:{Location}



Present: {Insert Names}

DISCUSSION TOPIC	Discussion	ACTION
<p><b>1. Introduction</b></p> <ul style="list-style-type: none"> <li>• Summary of purpose, aims, objectives of the service</li> <li>• Current funding</li> </ul>		
<p><b>2. Service Update</b></p> <ul style="list-style-type: none"> <li>• Service, Project activity</li> </ul>		
<p><b>3. Service delivery against the requirements of the contract</b></p> <ul style="list-style-type: none"> <li>• Impact and Outcomes achieved</li> <li>• Performance data- notes any key performance targets- met/unmet</li> </ul>		

<p><b>4. Involvement of people who use the service</b></p> <ul style="list-style-type: none"> <li>• Nature of the involvement</li> <li>• Feedback from people who use the service</li> </ul>		
<p><b>5. Issues and risks</b></p> <ul style="list-style-type: none"> <li>• Issues/risks from meeting to prior information</li> <li>• Opportunities and Challenges</li> <li>• Comments and Complaints</li> </ul>		
<p><b>6. Finance</b></p> <ul style="list-style-type: none"> <li>• Information on income and expenditure</li> <li>• Finance report</li> <li>• External funding</li> </ul>		
<p><b>7. Contract issues</b></p>		

<b>8. Other information</b> <ul style="list-style-type: none"><li>Operational Policies</li></ul>		
<b>9. Next steps</b> <ul style="list-style-type: none"><li>Current priorities</li><li>Planned developments</li></ul>		

## Appendix 8 – Level 3 Monitoring

### Monitoring Form for Service Agreements Level 3

PERIOD:	
Organisation lead:	
Contact details:	
Organisation:	
Please provide a brief summary of what has been achieved for the funding provided	
Please provide details of achievement or otherwise of the outcomes as agreed in the Service Agreement	
Please provide any feedback from participants or others (if applicable)	
Please provide details of any improvements, developments, successes or achievements	
Please outline if there has been any significant changes or challenges since the last monitoring report or any other information that you feel is relevant	
Please complete Annex 1 – Organisation’s Operational Policies Checklist- see overleaf.	
Funding Amount: £	
Please provide summary of project spend	
Please provide details of any additional funding you may receive	

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designation \_\_\_\_\_

For office use only	Date monitoring report checked
Monitoring Officer (name)	
Commissioning Manager (name)	

Please indicate those policies that apply to your organisation. Access to these may be requested. Where you do not have a policy in place please give the reason at the end.

Policy	YES	NO
Recruitment and selection process		
Volunteering policy		
Equal opportunities policy		
Discipline and grievance procedures including gross misconduct list: <a href="#">Grievance and disciplinary</a> (factsheet from ACAS)		
Supervision policy		
Performance appraisal procedure and policy		
Dignity at work including <a href="#">Harassment and bullying</a> (CIPD factsheet)		
Code of conduct - organisational 'rules' specific to your organisation		
Annual leave including public holidays, carrying forward leave, requesting holiday, pro rata entitlement for part-time staff		
Sickness absence including pay rates, reporting arrangements, monitoring absence, dealing with short/long term absence		
Rules regarding other types of absence including unauthorised absence		
Family policies including parental rights such as maternity, paternity, adoption, parental, dependent's leave <a href="#">Maternity leave</a> (ACAS)		
Non-statutory family domestic, Carers and compassionate leave rules		
Bereavement leave		
Statutory rules on retirement		
Statutory flexible working arrangements		
<a href="#">Health &amp; Safety</a> (where five or more staff are employed)		
Finance (internal financial procedures including money laundering under the Proceeds of Crime Act), investments and reserves		
Pay and pensions information including the treatment of deductions from pay		
Living wage policy		
Board responsibilities, conduct at board meetings, composition of the board and committees and the selection of new trustees, role profiles, confidentiality, speaking to the media, conflict of interest, etc		
Adult Support & Protection policy		
Training policy		
Data protection		
Records Management Policy		
Risk Management		
<b>Where you do not have a policy in place please give the reason:</b>		

## Appendix 9 - Contract Monitoring Checklist: Level 3

To be completed on receipt of Monitoring Report

Area	Detail	Yes	No	Comment
10. Overview	<ul style="list-style-type: none"> <li>Summary of what has been achieved for the funding provided</li> </ul>			
11. Outcomes	<ul style="list-style-type: none"> <li>Outcomes achieved against the requirements of the agreement</li> </ul>			
12. Feedback	<ul style="list-style-type: none"> <li>Comments, Compliments &amp; Complaints from people who use the service</li> </ul>			
13. Opportunities & Challenges	<ul style="list-style-type: none"> <li>Any improvements, developments, successes &amp; achievements</li> </ul>			
	<ul style="list-style-type: none"> <li>Any Challenges identified</li> </ul>			
14. Organisation's Operational Policies	<ul style="list-style-type: none"> <li>Checklist Completed</li> </ul>			
15. Funding	<ul style="list-style-type: none"> <li>Project Spend- Information on income and expenditure</li> </ul>			
	<ul style="list-style-type: none"> <li>Finance report</li> </ul>			
	<ul style="list-style-type: none"> <li>Additional funding received</li> </ul>			
16. Other information				

## MONITORING MEETING- Level 3

Insert Provider  
Held on: Insert Date



Present:

DISCUSSION TOPIC	Discussion	ACTION
1. Project Overview		
2. Outcomes		
3. Feedback		
4. Opportunities & Challenges		
5. Operational Policies		
6. Funding		
7. Other Issues the Provider would like to raise		

<b>8. Other issues the Commissioning Officer would like to raise</b>		
<b>9. AOB</b>		

