



Integration Joint Board
Clinical and Care Governance Committee

16th July 2018

This Report relates to
Item 6 on the Agenda

Contract Monitoring and Quality Assurance Framework

(Paper presented by Linda Owen)

For Noting

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List of Background Papers	Not required
Appendices	Appendix 1 - Contract Monitoring and Quality Assurance Framework

SECTION 1: REPORT CONTENT

Title/Subject:	Contract Monitoring and Quality Assurance Framework
Meeting:	Integration Joint Board Clinical and Care Governance Committee
Date:	16 th July 2018
Submitted By:	Glen Graham, Strategic Planning and Commissioning Manager
Action:	For Noting

1. Introduction

1.1 Many of the Adult Health and Social Care services in Dumfries and Galloway are commissioned from the Third and Independent Sectors. These include:

- Support services
- Information and advice services and
- Care services

The 144 contracts commissioned within the strategic planning department total £63m: approximately one quarter of the entire Integration Joint Board (IJB) budget.

1.2 Contracted services range from care and support services, regulated by the Care Inspectorate with contract values of several million pounds, to funding small third sector organisations with contract values of under £10,000.

1.3 Contract monitoring contributes to the quality assurance of regulated care and support services in conjunction with regulatory activities by Care Inspectorate and review and reassessment of individual packages by operational social work teams. Effective information sharing and coordination between these functions is essential to delivering the best outcomes.

1.4 In contrast, contract monitoring of unregulated services can be the only means of assuring quality and best value.

1.5 As part of a wider contract management approach to ensure the effectiveness of these contracts, a Contract Monitoring and Quality Assurance Framework (appendix 1) has been developed. This framework aims to ensure a consistent approach to monitoring the broad range of health and social care contracts managed by Strategic Planning and Commissioning on behalf of the IJB.

1.6 Through the implementation of this framework, a number of themes linked to service provision and the needs of those supported are emerging along with a number of areas of innovative practice

2. Recommendations

2.1 The Clinical and Care Governance Committee is asked to:

- **Note the Contract Monitoring and Quality Assurance Framework**
- **Note the current themes emerging from the monitoring process**
- **Note the areas of innovation currently being implemented/considered in partnership with the Third and Independent Sector**

3. Background

3.1 Scottish Government Guidance on the Procurement of Care and Support Services 2016 (Best-Practice) emphasises the importance of ensuring there is clarity between:

- Contract Management (the responsibility of the public body)
- Service Management (the responsibility of the service provider); and
- The role of the care manager (who has overall responsibility for ensuring that the totality of care and support for an individual is achieving the desired outcomes)

3.2 Contract Monitoring is the process of collecting and analysing information to assess the provider's performance in delivering the requirements of the contract and to identify any actions that may be required to be undertaken to manage the contract effectively.

3.3 Contract monitoring helps ensure that:

- People who use services receive the highest quality of service
- Services are delivered as agreed to appropriate quality standards and is providing value for money
- Public bodies manage any risks which may impact on a service provider's ability to deliver the service, or to deliver it to the required quality
- The correct administrative procedures are followed, for example a change to the contract or put into effect a price adjustment
- Services are supported to continuously improve through a process of ongoing dialogue

3.4 Ensuring that services are effective and deliver value through contract monitoring also contributes to meeting the requirements of a range of other legislation such as

- Duties under Community Care legislation to ensure that needs are met
- Duties under Adult Support and Protection legislation to protect vulnerable people from harm
- Duties under Self Directed Support legislation to ensure care and support is delivered in a way that supports choice and control for a person

- Duties under the Local Government in Scotland Act 2003 legislation regarding best value

4. Main Body of the Report

4.1 Information from contract monitoring can change and influence practice at every level of commissioning; from the specific care for an individual service user to the procurement and commissioning strategies.

4.2 The Contract Monitoring and Quality Assurance Framework is provided at Appendix 1. It has been developed to implement the requirements of relevant legislation and good practice guidance.

4.3 The Framework is consistent with the IJB's risk framework and will ensure that contract monitoring of the wide range of the IJB's contracts, managed by the Strategic Planning and Commissioning, is based on the following principles:

- 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.

4.4 Through the monitoring process, a number of themes linked to service provision and the needs of those supported are emerging:

- Workforce – External providers report continuing difficulties in recruiting and retaining sufficient staff to respond to increasing demand while maintaining existing provision, particularly in the care at home and care home sectors. This is exacerbated by an ageing workforce and the financial challenges of maintaining pay differentials between senior care staff and managers as pay rates for the staff they manage and support have increased to Living Wage levels. Challenges in recruiting registered managers presents a key challenge across all services.
- Increasing volumes and complexity of demand - There are challenges in maintaining outcomes in the context of increasing volumes and complexity of demand. Meeting increasing demand with a finite workforce and existing service capacity, such as care home bed numbers, often results in increasing pressures on staff and delays in meeting need. Increased complexity of need means that there are increased training requirements and higher levels of risk to be managed.

- Financial sustainability - Many providers report challenges to their ongoing financial sustainability as their costs go up as a result of increasing staff, travel and pension costs; and the prices that are affordable within public sector funding constraints cannot increase at the same rate. The majority of support service providers (not care at home or care homes) have had no financial uplifts in their contracts in recent years and this is affecting their ability to continue to meet the needs of people who use these services.
- Outcomes Approach – The new Health and Social Care Standards, recently introduced by the Scottish Government, are much more focused on outcomes. It is recognized that there is a need to move towards a more outcome based approach to commissioning generally and the strategic planning team, in partnership with colleagues in the public, third and independent sectors, are working on making this shift.

4.8 There is willingness from third and independent sector providers and other key stakeholders, including people who use services, Carers and families and the public sector, to work innovatively and co-productively to meet the above challenges. This work includes

- Review and re-design of night time service provision through a combination of direct support and technology.
- Early discussions to consider how providers might deliver care differently through a combination of direct support and the use of technology within a new accommodation setting in Dumfries.
- Exploring the use of 'Attend Anywhere' (video conferencing software) to provide a more immediate and flexible service for people, particularly those people who cannot get out of the house or live in more remote and rural areas and for GP visits to a care home.
- Localities seeking innovative solutions to immediate capacity challenges and coproducing future strategy through the Care at Home/Care at Home Programme Board and the Strategic Management Group and the tactical groups which support it.

5. Conclusions

5.1 A Contract Monitoring Framework has been developed for health and social care contracts commissioned by Strategic Planning and Commissioning on behalf of the IJB. Work on this will continue to broaden this framework to all aspects of contract management and better support a 'commissioning for outcomes' approach.

5.2 Contract monitoring over the last few months is identifying areas of good practice and also areas of real challenge for Third and Independent Sector Providers

5.3 There is a willingness from all sectors of the Partnership to work better together, co-productively to innovate and find new ways of delivering care and support

SECTION 2: COMPLIANCE WITH GOVERNANCE STANDARDS

6. Resource Implications

6.1 This is managed within current resources.

7. Impact on Integration Outcomes, Priorities and Policy

7.1. This supports the delivery of the 9 national health and wellbeing outcomes and the various duties as outlined in section 3 above.

8. Legal & Risk Implications

8.1. As outlined above

9. Consultation

9.1 None required

10. Equality and Human Rights Impact Assessment

10.1. Not applicable

11. Glossary

IJB Integration Joint Board