



# SERVICE REVIEW AND CONTRACT MONITORING POLICY

Policy for Hertfordshire Supporting People  
June 2007-May 2010

## Contents:

- Service Review Policy
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- Contract Monitoring Policy

ACS 780. Service Review and Contract Monitoring Policy. Issue 1.  
Date: November 2007

**SERVICE REVIEW POLICY**  
**June 2007 – May 2010**

ACS 780. Service Review and Contract Monitoring Policy. Issue 1.  
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## **1. Introduction**

The first round of service reviews has been completed for all services across Hertfordshire. The outcomes of these reviews have shown that the review process has assisted providers in improving the quality of services for service users and given a clearer understanding of housing related support. The review programme has also given the Supporting People (SP) team improved knowledge of the services funded by Hertfordshire's Supporting People Grant. The benefits gained from these initial reviews have supported the decision to continue with service reviews post April 2006.

This document sets out the Hertfordshire Supporting People Programme's approach to undertaking the reviews of services funded through SP during the next three years. It is aimed at Supporting People staff, service providers, service users/carers and partners.

## **2. Key Aims and Approach of the Service Review Programme**

The SP Programme is committed to working with providers to achieve continuous improvement in the quality of support services in Hertfordshire. Service reviews will be a key part of this approach, and will sit alongside other monitoring exercises such as contract monitoring and value for money reviews, to provide a clear picture of the overall effectiveness and quality of services.

All service reviews will be transparent, rigorous and robust. They will be:

- structured to ensure that the views of service users are fully taken into account to help providers show where they are making improvements;
- to identify where and how services need to improve;
- used to identify good practice and share this with other providers.

Providers are encouraged to approach the team at any time to discuss proposals for reconfiguring or improving services.

The key aims of the review process are:

- To improve the quality of service and outcomes for service users and the administering authority
- To ensure a better strategic 'fit' – making sure services are meeting identified needs
- To obtain better value for money
- To ensure continual improvement
- To inform the ongoing development of the Hertfordshire SP Programme.

The SP team will carry out reviews:

- In a fair and equitable manner
- Efficiently and timely
- In partnership with providers, stakeholders and people who use services.

The service review procedure will be used to ensure that all reviews are carried out consistently and to a high standard.

### **3 Service Review**

In order to achieve consistency, all services will be risk assessed and programmed for a visit according to the degree of risk. High risk services will take priority, followed by medium and low risk services programmed throughout the three year period.

The risk assessment considers whether the service underwent a full validation visit, a desktop exercise, or part of a random sample for Adult Protection. Performance data, quality of submitted information, types of registrations and any concerns or complaints are also considered.

The SP team will notify all providers of the outcome of the risk assessment and the planned year for their service review.

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However, services may be brought forward for a review at any time throughout the three year period, if there are concerns arising from:

- The Value for Money exercise
- Contracts assessed as high risk (see Contract Monitoring Policy)
- Stakeholder information
- Service user information
- Complaints
- Other regulators e.g. Commission for Social Care Inspection

As part of the review process, the SP team will deliver a programme of visits to individual services, commencing in October 2007. The visits will allow providers and service users the opportunity to tell us about the service and enable the SP programme to make an accurate assessment of its quality. All services will be visited over a three year period.

To ensure transparency, and to use the full range of skills and knowledge about housing related support in Hertfordshire, we will introduce a system of peer service reviewers to work alongside SP staff on some service reviews. These peer reviewers will be drawn from staff and service users, and will be trained and supported to undertake the role.

#### 4. Service Review Stages

Each service review will consist of the following stages:

| Review Stage                              | Activity   |
|---|--|
| <p><b>Service Review Notification</b></p> | <p>The SP team will write to each provider at least four weeks before the start date of their review. This notification will include the following:</p> <ul style="list-style-type: none"> <li>• A letter explaining the outcome of the risk assessment</li> <li>• The service/s to be visited and proposed dates</li> <li>• The Provider Guide</li> <li>• Contact details of their Contract and Review Officer</li> </ul> |

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|  |  |
|--|--|
| <p><b>Strategic Relevance and Demand</b></p> | <p>Strategic relevance considers how the service fits in with the aims of the SP strategy and other local and national plans for example, housing and homelessness strategies, Valuing People, the Older People's Strategy.</p> <p>We will also review the demand for the service, using occupancy figures and referral/waiting list data.</p>   |
| <p><b>Performance Indicators</b></p>         | <p>Each provider is required to complete Performance Indicator workbooks as part of contract monitoring. These workbooks are submitted on a quarterly basis and will be looked at continuously throughout the year. An overview will be included within the review report.</p>   |
| <p><b>Quality</b></p>                        | <p>Service providers will be asked to provide an annual Quality Assessment Framework (QAF) self assessment as part of contract monitoring (included within the baseline questionnaire, which is part of the contract monitoring process). The latest QAF self assessment will be assessed against the previous one and validation checks against all six core objectives will take place to ensure the provider is continually improving.</p> <p>Alongside this requirement we will assess how effective providers are at involving service users and carers' as another measure of continuous improvement.</p> <p>The Baseline Questionnaire (see Contract Monitoring Policy) asks providers to state any changes in policies within the last twelve months. This will ensure the SP team are fully aware of any issues which may impact on the quality of the service and give providers an opportunity to show where practice has improved quality.</p> |

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|  |   |
|--|---|
| <p><b>Service User Outcomes</b></p>    | <p>Communities and Local Government (CLG) have introduced a National Outcome Framework which commenced operation in May 2007. The National Outcome Framework is comprised of five high level outcomes, each with associated indicators for service users. The Hertfordshire SP Programme is committed to using this Framework to ensure improved outcomes for service users are being delivered. Service reviews will monitor the outcomes delivered by providers for former service users.</p> <p>Service reviews will examine current support plans to ensure that they are appropriate to meet identified needs, and discuss with service users their views of how well services meet their needs.</p> |
| <p><b>Stakeholders</b></p>             | <p>Providers are requested to provide details of two stakeholders as part of the Baseline Monitoring Questionnaire. This feedback will form part of the review report.</p> <p>The SP team may also approach other stakeholders as it sees fit. Providers will be kept fully informed of any such approaches.</p>  |
| <p><b>Service User Involvement</b></p> | <p>The SP team are committed to involving service users in the review process. All service reviews will survey service users using the 'Having Your Say' questionnaire to gauge their opinions of the service they receive.</p> <p>We will also invite service users to meet with the Contract and Review Officer in a group setting, on the day of the visit or arrange to meet at a more convenient time if required.</p> <p>Service users will have the opportunity to become peer reviewers, taking part in reviews of services other than</p>  |

|   |   |
|---|---|
|   | <p>their own.</p> <p>Results from 'Having Your Say' forms, group discussions and/or interviews will feed into the review report and service users will receive written feedback following the conclusion of the visit.</p>  |
| <p><b>Conclusion of visit and reporting</b></p> | <p>Following the service review visit, providers will be issued with an evaluation form to enable them to feed back their views of the conduct of the process.</p> <p>The provider will be given feedback on the day of the visit of the initial findings of the service review. All the data will be considered after the visit and a review report will be issued within four weeks.</p> <p>Providing service users with clear information about the outcomes of reviews is a vital part of the process. Information for service users about each review will be prepared by the SP team and distributed to service users. This will be done after discussions with providers to agree the best way to get the information to as many service users as possible.</p> <p>Service review outcomes will feed into quarterly reports to the Programme Development Group and Commissioning Body detailing outputs, trends and emerging themes.</p> |

## 6. Action Plan Monitoring

If the review recommends that the provider takes further action, an action plan will be issued. The service provider will be asked to agree the contents and timetable for implementation of the action plan with the Contract and Review Officer.

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## **7. Default Procedure**

Default processes may be initiated if a provider:

- Fails to return information requested during a review
- Fails to return information in response to an action plan
- Continues to submit inadequate information during the monitoring of an action plan

The Default procedure is documented in The Provider Guide.

## **8. Contract Service Review Monitoring Workbook**

Appendix 1 details the workbook to be used by the SP Team to record the results from service reviews and contract monitoring meetings.

## **APPENDIX ONE**

### **Hertfordshire Supporting People Contract Service Review Monitoring Workbook**

#### **Service Reviews (Part 1) Contract Monitoring (Part 2)**

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|  |  |
|--|--|
| <b>SECTION 1</b>   |  |
| <b>Organisation:</b>   |  |
| <b>Contract No:</b>  |  |
| <b>Scheme ID:</b>  |  |
| <b>Scheme name/s:</b>  |  |
| <b>Date/venue of Visit:</b>  |  |
| <b>Details of the Schemes under this Contract/s</b>                      |  |
| <b>Contract ID /Scheme ID/Service/Type/Subsidy or Gross/Client Group</b> |  |
|  |  |
| <b>SECTION 2. Accreditation Status</b>                                   |  |
| <b>State date of next Accreditation:</b>                                 |  |
|  |  |

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|   |
|---|
| <p><b>Is your organisation/service regulated by any other body apart from Supporting People (SP) for example, CSCI, Housing Corporation?</b></p>  |
| <p><b>If the answer is 'no' apart from SP, ask if they intend to register with CSCI, HC.</b></p>  |
| <p><b>If the answer is 'yes' to CSCI registration, ask the provider to supply a copy of their Annual Quality Assurance Assessment (AQAA), they have to submit to CSCI and note any areas of change highlighted in sections 1, 2, 3, 4 and within the Brief Summary section (page 9)</b></p> |
| <p><b>Announced or Unannounced Visit?</b></p> <p><b>State reasons:</b></p>  |
| <p style="text-align: center;"><b>SECTION 3. Strategic Relevance</b></p>  |
| <p>For each of the following questions select from:</p> <ul style="list-style-type: none"> <li>• Fully complies;</li> <li>• complies subject to action plan;</li> <li>• does not comply;</li> <li>• insufficient evidence</li> </ul>  |
| <p><b>Question: Does the service meet key SP objectives in the following areas?</b></p>   |

|  |
|--|
| <b>Local SP Priorities</b>   |
|  |
| <b>Evidence from Client Record System</b>  |
|  |
| <b>Cross authority priorities – for Women Fleeing Domestic Violence, Offenders or those at risk of offending, Gypsies and Travellers client groups only.</b>             |
| Services for client groups listed above are relevant to need from outside the Hertfordshire area therefore; they are strategically relevant across authority boundaries. |
| <b>Contents of service statement</b>   |
| <b><i>Questions: Does the service provide housing related support to increase independence and gain access to accommodation?</i></b>                                     |
|  |
| <b>Evidence of outcomes for service users</b>  |
|  |

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|  |
|--|
| <b>Questions: Does the service meet a statutory duty?</b>  |
|  |
| <b>Question: How many people using the service are discharged under s117 of the Mental Health Act?</b> |
|  |
| <b>Question: How many people receive services under a Care Programme Approach (CPA)?</b>               |
|  |
| <b>If there are any people with CPA's, ask the provider if they are involved with the CPA.</b>         |
|  |
| <b>If the answer is 'yes', do they have any examples of involvement?</b>                               |
|  |
| <b>Question: Is SP grant only used to provide housing related support?</b>                             |
| <b>Is SP grant funding health or social care? (use VFM work and check tasks in support plans)</b>      |
|  |

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***Question: Is there evidence of demand for the type of service from the target client group? (check baseline questionnaire for waiting list info)***

**Evidence of demand from other relevant agencies?**

***Question: How does demand match supply of this type of service in the area?***

**SECTION 4 - Performance Indicators**

**Is the service complying with the time scales set within the submission of the quarterly returns?**

**Has the provider had any problems with moving people on?**

**Are there any other concerns since the last review?**

**SECTION 5 - Value for Money (VfM)**

**Following the VFM Assessment of this service, are there any concerns of how the SP grant is being apportioned across this service?**

**Is the number of hours spent delivering support for this service provision acceptable?**

**SECTION 6 - Quality Assessment Framework (QAF) and Continuous Improvement**

**NOTE: CSCI registered services do not have to comply with the QAF/continuous improvement**

**Has the current self assessment of this service changed from the previous Annual assessment?  
Use ODPM Toolkit if required**

**If yes, what evidence can the provider offer to support the change? Continuous Improvement / QAF  
Review Officer to select objectives from the six QAF objectives which demonstrate continuous improvement  
(level B or A)**

Please indicate which policies and procedures, record logs and evidence seen here.  
Also complete a QAF if felt necessary or use Toolkit as guide for evidence to look for.

**IF No, Why can the Provider not demonstrate continuous improvement in the QAF**

## SECTION 7 - National Outcomes

All are to be assessed for all services including CSCI registered services

Links to QAF Evidence Level C: C 1.1 = Needs and Risk Assessment; C 1.2 Support Planning; C 1.3 Security, Health and Safety; C 1.4 Protection From Abuse; C 1.5 Fair Access, Diversity and Inclusion; C 1.6 Complaints

### 1. Achieve Economic wellbeing

#### Evidence

- Support Plans (mandatory) – C 1. 2
- Consult Service Users
- No of ACS8 forms completed – C 1.1
- Number of Service Users on H B – C 1.1
- Staff trained in Welfare Benefits – C1.1
- Service Users have access to Financial Information or know where to seek it – C 1.1
- Prevention of evictions linked to rent arrears – C 1.1
- Outcome forms (mandatory)

#### Detail Evidence Seen

## **2. Enjoying and Achieving**

- **Support Plans (mandatory) – C 1.2**
- **Consult Service User**
- **Minutes of House Meetings**
- **The amount and type of outside training/work**
- **Number of Service Users who attend social events**
- **Outcome forms (mandatory)**
- **Diversity – C 1.5**

### **Detail Evidence Seen**

### **3. Be healthy**

- **Support plans (mandatory) – C 1.2**
- **Number of hospital admissions – C 1.2**
- **Number of Service Users who are registered with a GP – C 1.1, C 1.2**
- **Number of Service Users who are in a drug or alcohol rehabilitation programme – C 1.1, C1.2**
- **Is their a H and S Policy? – C 1. 3**
- **Outcome forms (mandatory)**
- **Diversity – C 1.5**

### **Detail Evidence Seen**

#### **4. Stay Safe**

- **Support Plans (mandatory) – C 1.2**
- **Consult Service Users**
- **H and S procedure in place – C 1.3**
- **Protection from Abuse and Lone working procedure in place – C 1.3, C 1.4**
- **Building and Communal Risk Assessment carried out – C 1.3**
- **Outcome forms (mandatory)**
- **Diversity – C1.5**
- **All Staff and Volunteers CRB**
- **Safeguarding Adults and Children (POVA)**

#### **Detail Evidence Seen**

**5. Making a Positive Contribution**

- Support Plans (Mandatory) – C 1.2
- Consult service users
- Minutes of house meeting
- Questionnaires
- Service Users choice and involvement in the support they receive (consult)
- Outcome forms (Mandatory)
- Diversity – C 1.5
- Complaints – C 1.6

**Detail Evidence Seen:**

**SECTION 8 - Stakeholder Consultation**

**Are stakeholders consulted on how the service aids them in delivering their strategic objectives?**

**Detail Evidence Seen**

(stake holder questionnaire sent or conversation had with stake holder via phone; evidence of change as a result of consultation)

**SECTION 9 - Service User Consultation**

**Are Service Users consulted as part of QAF Validation, Outcomes frame work and HCC 'Having Your Say' forms?**

**Detail Evidence seen / heard**

Service User  
Questionnaires 'Having Your  
Say' forms sent.

**Yes / No**

Spoke to Users on visit

**Yes / No**

**Comments:**

**Evidence of change as a result of consultation**

**Evidence of service improvement**

## SERVICE REVIEW FEEDBACK FORM

|   |                      |
|---|----------------------|
| <b>PROVIDER NAME:</b><br><br><b>Service ID:</b> | <b>CONTACT NAME:</b> |
|---|----------------------|

|  |
|--|
| <b>National Outcome-</b><br>Outcomes discussed and looked at. Detail whether or not there was evidence of this within service users support plans;<br><br><b>Detail Evidence</b> |
|--|

**General Feedback:**

**QAF – Continuous Improvement**

**Service Users**

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**Stake holders feed back**

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## PROVIDER ACTION PLAN

### Action Plan Timescales:

**If no continuous improvement demonstrated, issue an action plan to reach next level before next review i.e. 2010**

**If level C not reached in any QAF core objective, issue an action plan for 28 days**

**PROVIDER NAME:**

**CONTACT NAME:**

**Service ID:**

| <b>ISSUE</b> | <b>ACTIONS REQUIRED</b> | <b>DEADLINE DATE</b> | <b>ACTION ACHIEVED DATE</b> |
|--------------|-------------------------|----------------------|-----------------------------|
|              |                         |                      |                             |
|              |                         |                      |                             |
|              |                         |                      |                             |

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Review Officer:**

**Date:**

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**SECTION 10 - CONTRACT MONITORING**  
**(to be used in conjunction with Contract Monitoring Information and Baseline Questionnaire)**

**BASELINE QUESTIONNAIRES - Information for discussion/concern from Baseline Questionnaires e.g. Complaints etc.**

**PERFORMANCE INDICATORS - Discussion on the overall assessment of the PI's for the previous 12 months on all services.**

**If the utilisation is low, discussion on what steps are to be taken to increase occupancy. Including how many people on the waiting list.**

**Does the provider want to adjust unit numbers?**

**Are there any proposals to remodel or alter the service?**

**What policy is in place to move people on and have there been any difficulties.**

**Discussion on length of stay for short term services**

**COMPLIANCE WITH CONTRACT**

**Have there been any staffing changes since the Baseline Questionnaire.**

**Are there any proposals to alter staffing levels in the future?**

**Discussion on sending in paperwork on time or any defaults.**

**What procedure/guidelines does the staff have on assisting clients to fill in ACS8's and Housing Benefit.**

**Do managers check this is happening?**

**Who in the service looks at and returns the Subsidy Schedule and have there been any problems?**

**Are there any issues with Supporting People Finance Section?**

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**Does the provider discriminate between Eligible Service Users and those liable to meet their own charges in any way?  
I.e. does the provider charge self funders a different unit price compared to eligible service users?**

**Specification Discussion?**

**QUALITY ASSESSMENT FRAMEWORK CONTINUING IMPROVEMENT**

**What are your plans for continuous improvement?**

**STAKEHOLDER CONSULTATION**

**What consultation with the users of the service has been conducted by the service provider?**

**What were the results?**

**SERVICE PROVIDER**

**Is there anything you consider that we could do, to improve our service to you?**

**Further Action Required by Provider of the service**

**What is the action?**

|  |
|--|
| <b>What needs to be done?</b>  |
| <b>When does the action need to be completed by?</b>                                   |
| <b>Further Action required by the Review Officer</b>                                   |
| <b>Amendments:<br/>Please State:</b>   |
| <b>Review Officer:</b><br><br><b>Date:</b>   |
| <b>All actions are now complete</b><br><b>Review Officer:</b> _____ <b>Date:</b> _____ |

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### Service Review Risk Assessment

|                      |  |               |
|----------------------|--|---------------|
| <b>Provider:</b>     |  |               |
| <b>Service Name:</b> |  |               |
| <b>ID Number:</b>    |  |               |
|                      |  | <b>Answer</b> |
| <b>Item 1</b>        | <b>Service Review</b>  |               |
| 1.1                  | A validation visit was carried out (G) A random sample passed C level (A) No validation visit (R)  |               |
| <b>Item 2</b>        | <b>Performance Data</b>  |               |
| 2.1                  | Is the PI information sent on time (G) Has the information been late (A) Have defaults been issued (R)   |               |
| 2.2                  | Are the Performance Indicators on target Yes (G) No (R)  |               |
| <b>Item 3</b>        | <b>Registration</b>  |               |
| 3.1                  | Is the Provider registered with Commission for Social Care Inspection, Abbeyfield Standard, Foyer, Housing Corporation, Centre for Sheltered Housing Studies, Investors in People Yes (G) No (R) |               |
| <b>Item 4</b>        | <b>Complaints</b>  |               |
| 4.1                  | Have there been any serious incidents or complaints No (G) Yes (Y)   |               |
| 4.2                  | Has the Supporting People team needed to investigate any unresolved complaints about the service provider? No (G) Yes (R)  |               |
|                      | <b>Result:</b>   |               |
|                      | <b>High</b>  |               |
|                      | <b>Medium</b>  |               |
|                      | <b>Low</b>   |               |
|                      | If any Items in 1, 2 and 4 are red - the overall assessment is red.  |               |
|                      | If only item 3 is red score as a medium risk service.  |               |

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**CONTRACT MONITORING POLICY**  
**Contracts June 2007 – May 2008**

## 1. Scope and Purpose

The contract monitoring policy sets out the approach the Hertfordshire Supporting People (SP) Team will take in monitoring existing Interim Contracts and Full SP contracts (Steady State contracts), when issued. The policy will be reviewed May 2008.

The policy has been produced in line with the Supporting People block gross and blocks subsidy contracts and is targeted at Contract and Review Officers, Service Providers and the Programme Development Group (PDG).

## 2. Differing Functions of Contract Monitoring and Service Review Processes

| Topic   | Contract Monitoring   | Service Review   |
|---|---|--|
| <b>Frequency</b>  | <b>Annual monitoring or more frequently if the risk assessment identifies a need for closer monitoring.</b>   | <b>At least every 3 years.</b>   |
| <b>Strategic Relevance</b>                                      | Not considered at contract monitoring.  | Will determine if the service is strategically relevant and in demand. Will evaluate how the service contributes to any county wide strategic review.  |
| <b>Performance Indicators (PI)</b>                              | Assessed to determine compliance with agreed performance targets for utilisation, availability. Will consider specific issues relating to the contract. | Provides an overview of performance since the last service review.   |
| <b>Value For Money (VfM)</b>                                    | Included here to determine if the quality of a service is acceptable. Concerns arising from the VfM exercise will trigger an early contract meeting.    | Included here to determine if the quality of a service is acceptable. Concerns arising from the VfM exercise will trigger an early review.   |
| <b>Quality Assessment Framework (QAF) and National Outcomes</b> | Annual QAF assessment to benchmark provider's improvements against validated review outcomes and post review action plan monitoring.                    | Assesses the quality of the service, considers if providers have appropriate procedures in place, supported by sufficiently skilled staff, to support or maintain a person's capacity to live independently. Support |

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|                                  |  |  |
|----------------------------------|--|--|
|                                  |  | plans link to Outcomes. Action plans can be issued to flag up areas of concern. These are monitored as part of the review process.   |
| <b>Stakeholder Consultation</b>  | Not considered at contract monitoring.   | Stakeholders are consulted via questionnaires to gather feedback on how the service aids the stakeholder in delivering their strategic objectives. At any time, stakeholder concerns will trigger the review to be brought forward.  |
| <b>Service User Consultation</b> | Not considered at contract monitoring.   | Service users are consulted as part of QAF and Outcome validation. Questionnaires are issued to service users ahead of a visit and meetings are held with service users during the review process and feedback given post review. At any time service user concerns will trigger the review to be brought forward. |
| <b>Visit</b>                     | Carried out at least annually, or brought forward if concerns are raised, to discuss contract performance. | Carried out as a result of the Risk Assessment or brought forward if concerns are raised. Visit is used to consult with service users and staff group and as a means of validating QAF scores and Outcomes.  |

## CONTRACT MONITORING

### 3. Issuing of Full SP Contracts (Steady State Contracts)

When a service is assessed as offering value for money (following Value for Money and Eligibility assessment), and subject to Hertfordshire County Council's procurement regulations, the Provider will be asked to sign a Full SP contract.

As a general rule the following type of contract will be issued: -

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### 3.1 Block Gross Contracts

The Supporting People Team will pay an agreed annual sum in 13 equal payments, four weekly in advance.

The value of a block gross contract is calculated as

$$\frac{\text{weekly unit price x number units}}{7} \times 365$$

Block gross arrangements will be entered into for all short-term services.

### 3.2 Block Subsidy

The Supporting People Team will pay 13 payments per year against all block subsidy contracts. Each payment will be calculated according to the number of eligible service users within the contract (those who are in receipt of Housing Benefit which has been verified by the appropriate Housing Benefit department or those who have had a positive fairer charging assessment outcome).

Service providers must inform Financial Accounts of any tenancy changes as stated within the Financial Administration Protocol for Providers.

## 4 Contract Monitoring Risk Matrix

All contracts will be risk assessed to determine the type of contract monitoring. The contract risk matrix will be applied consistently to each contract at the start of the financial year (for this year only, from November 2007) or upon issuing a Full SP contract whichever is the earliest.

The following factors will be considered as part of this process:

|                     |                                     |  |  |   |
|---------------------|-------------------------------------|--|--|---|
| <b>Organisation</b> | <b>Last Accreditation Status</b>    | Accreditation was completed using local or regional protocol and is valid for next 3 years<br><b>0</b> | Accreditation will expire within the next 12 months<br><b>10</b>                     | Provider was difficult to accredit due to information not supplied within the specified timescales<br><b>15</b> |
|                     | <b>Provider Type</b>                | The provider is registered with the HC as an RSL or registered with CSCI<br><b>0</b>                   | The provider is a Charitable Organisation and not registered with the HC<br><b>5</b> | The provider is a sole trader, voluntary or private organisation<br><b>10</b>                                   |
| <b>Contract</b>     | <b>Annual contracted commitment</b> | Contract value under £15,000<br><b>0</b>   | Contract value between £15,001 and £100,000<br><b>5</b>                              | Contract value exceeds £100,001<br><b>10</b>  |
| <b>Service</b>      | <b>Review Risk Assessment</b>       | Final result GREEN from review risk assessment<br><b>0</b>   | Final result AMBER from review risk assessment<br><b>5</b>                           | Final result RED from review risk assessment<br><b>10</b>   |

**(Total available – 45)**

## 5 Types of Contract Monitoring

Once the risk assessment has been applied, each contract will be assigned a monitoring framework. These are as follows:

### 5.2 Baseline Monitoring – low risk (score between 0-14)

All contracts will be subject to baseline monitoring. This will consider: -

- Performance indicator returns
- Annual QAF self-assessment and National Outcome reports
- Compliance with contract terms and conditions

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An annual baseline questionnaire will be issued with the blank performance indicator workbooks in April of each year with a request to return the information by a given date in July. Contract and Review Officers will assess this submission and arrange a contract monitoring meeting to take place within the financial year.

### **5.3 Active Monitoring – medium risk (score between 15-29)**

Those contracts assessed as requiring active monitoring will be subject to baseline monitoring arrangements (as above) with the following additions:

- The contract monitoring meeting will take place within six months of the assessment and minutes of the meeting placed on the SP provider file and a report issued
- Action plans may be issued to address any areas of concern. These will be monitored and a follow-up meeting arranged on a three monthly basis.

### **5.4 Close Monitoring – high risk (score between 30-45)**

Those contracts assessed as requiring close monitoring will be subject to baseline monitoring arrangements (as above) with the following additions:

- A meeting will be held at one of the services within the contract within two months of the risk assessment, staff will be interviewed. This meeting may take place alongside a service review meeting.
- An action plan will be issued and monitored monthly

Failure to comply with contract monitoring arrangements will result in the initiation of the default process.

The type of monitoring framework will be subject to change for example, a contract monitored under the baseline framework may change to active or close monitoring, if there are concerns arising from:

- The Value for Money exercise
- Service Reviews (see Service Review Policy)
- Stakeholder information
- Service user information
- Complaints

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- Other regulators e.g. Commission for Social Care Inspection

## 6 Performance Indicators

The Supporting People Team will issue performance indicator workbooks at the start of each financial year. The workbooks will include a covering letter detailing the four reporting periods and the due response date for each period. Service providers will be expected to complete and return performance indicator workbooks within the specified time frame.

### 6.1 Quarterly Reporting

Contract and Review Officers will assess each return and determine if further action is required. This further action may include discussions with the service provider.

In addition to individual assessments, the responsible Strategy and Development Officer will produce a programme report for the PDG at the earliest meeting scheduled after the return date. PDG will be asked to note the contents of the report and take further action in the event of under-performance of the programme.

The Programme Development Group and Commissioning Body will receive quarterly reports from Contract Monitoring and Service Review meetings highlighting any trends and emerging issues.

### 6.2 Performance Benchmarks for 2007-2008

Service and Supporting People Programme benchmarks are in place as follows:

#### 6.2.1 Service Benchmarks

| Indicator | Area                                       | Benchmark |
|-----------|--|-----------|
| SPI – 1   | Availability                               | 98%       |
| SPI – 2A  | Utilisation (accommodation based services) | 96%       |

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|          |                                     |            |
|----------|-------------------------------------|------------|
| SP1 – 2B | Utilisation (support services only) | <b>95%</b> |
|----------|-------------------------------------|------------|

### 6.2.2 Programme Benchmarks

| <b>Indicator</b> | <b>Area</b>                                | <b>Benchmark</b> |
|------------------|--|------------------|
| SPI – 1          | Availability                               | <b>98%</b>       |
| SPI – 2A         | Utilisation (accommodation based services) | <b>96%</b>       |
| SPI – 2B         | Utilisation (support only services)        | <b>95%</b>       |
| KPI – 1          | Establish and maintain independent living  | <b>98.75%</b>    |
| KPI - 2          | Moved on in a planned way                  | <b>65%</b>       |

Performance targets are subject to change. Any alterations will be notified in writing to all service providers.

## 7 Default Process

Any providers failing to submit performance indicator workbooks or failing to address under-performance in line with agreed action plans will be subject to the Default Process in line with clause 23 of the contract. The Default process is detailed in The Provider Guide.

## 8 Variation to Contract

In line with clause 27 of the Supporting People contract, all variations will be negotiated and agreed between the Supporting People Team and the Service Provider. Variations will be notified in writing and signed by both parties.

**Appendix Two – Contract and Monitoring Risk Assessment**

|  |  |                        |
|--|--|------------------------|
| <b>Provider:</b>   |  |                        |
| <b>Contract ID:</b>  |  |                        |
| <b>Services within this contract (ID's)</b>  |  |                        |
| <b>Officers should award one score per box and total the final number of points for the Contract</b> |  | <b>Answer (Points)</b> |
| <b>Item 1 - Organisation</b>   |  |                        |
| <b>Last Accreditation Status</b>   | Accreditation completed using regional or local protocol and is valid for the next three years or if the organisation is exempt (Local Authorities, Probation and Health) (0 points) |                        |
|  | Accreditation will expire in the next twelve months (10 points)  |                        |
|  | Provider was difficult to accredit, information not supplied in timescale (15 points)  |                        |
| <b>Provider Type</b>   | The provider is registered with the Housing Corporation as an Registered Social Landlord or registered with Commission for Social Care Inspection (0 points)                         |                        |
|  | The provider is a Charitable Organisation and not registered with Housing Corporation (5)  |                        |
|  | The provider is a sole trader, or voluntary or private organisation (10)   |                        |
| <b>Item 2 - Contract</b>   |  |                        |
| <b>Annual Contracted Commitment</b>  | Contract Value under £15,000 (0)   |                        |
|  | Contract Value between £15,001 and £100,000 (5)  |                        |
|  | Contract Value exceeds £100,001 (10)   |                        |
| <b>Item 3 - Service</b>  |  |                        |
| <b>Service Review Risk Assessment</b>  | Final result Green from the review risk assessments (0)  |                        |
|  | Final result Amber from the review risk assessments (5)  |                        |

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