|  |  |
| --- | --- |
| Overview | This standard is about planning, monitoring and evaluating the service provider's on-going progress in achieving the outcomes identified in the contract terms and conditions. Monitoring should be undertaken in partnership with the provider and is as much a development opportunity for the provider as a means of ensuring that the outcomes of the contract are achieved.This NOS is relevant to an individual undertakingcommissioning, procurement and contracting in relation to care services. |
| Performance criteriaYou must be able to:You must be able to:You must be able to: |  **Agree a monitoring plan** 1. engage **individuals, key people, stakeholders** and **colleagues** in planning how services will be monitored
2. identify the **criteria** that will be used to assess whether services are accessible, efficient, **sustainable** and deliver **outcomes** appropriate to service users’ needs
3. specify how **performance information** will be measured and collated to monitor the service provider’s progress towards achieving outcomes
4. ensure that individuals, key people and others and the provider’s workforce have the opportunity to participate in monitoring activities
5. work **co-productively** to agree a schedule of **proactive** contract **monitoring** activity
6. work co-productively to agree how concerns about service provision will be managed, including **reactive contract monitoring** and **escalating concerns**
7. work co-productively to agree how information from contract monitoring will be distributed and used
8. ensure that you have accurate past and current **information** about the **contracted service(s)**
9. check that the monitoring plan meets **organisational** priorities, requirements and guidance
10. ensure that the monitoring plan is realistic and sustainable in light of available **resources** and **contingencies**
11. review progress and priorities and revise monitoring plan appropriately

**Undertake monitoring of performance** 1. ensure that the all people involved in the **monitoring activity** clearly understand and agree the purpose of the activity and the proposed methodology
2. work co-productively to implement agreed monitoring activities
3. carry out monitoring activities with as little disruption as possible to staff and individuals, key people or others using the service
4. take steps to deal with issues or concerns arising outside the scope of the original monitoring plan, including reactive contract monitoring and escalating concerns
5. ensure individuals, key people and others who use the service are kept informed of the progress and timescales of the monitoring activity
6. assess performance in line with agreed methods, schedule and criteria
7. record the results of monitoring activity and any issues or concerns about service provision
8. ensure that monitoring reports provide evidence of performance and the sources of evidence
9. clearly indicate any improvements required with timescales when completing monitoring reports
10. identify who is responsible for ensuring any required improvements
11. distinguish between requirements and recommendations when completing monitoring reports
12. complete the monitoring plan and record reasons for any areas not implemented

**Share and feedback the results of monitoring** 1. present feedback in a way that promotes the understanding and co-operation of the service provider
2. identify and act promptly upon any **issues** that may affect the achievement of outcomes for individuals
3. work promptly with individuals, key people, service providers and colleagues to address concerns about danger, harm, abuse and/or promotion of individual rights
4. seek immediate support and assistance where the situation is beyond your competence to deal with
5. provide accurate advice to service providers on how to address any issues identified through monitoring activities
6. work with the service provider to develop an action plan that addresses issues in the monitoring report
7. follow up any action points resulting from the monitoring activity
8. explain the service provider's right to challenge the outcomes of the monitoring activity and the process for doing so
 |
|  |  |

|  |  |
| --- | --- |
| Knowledge and understandingYou need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand:You need to know and understand: | **Specific to this NOS**1. how to manage ethical dilemmas and conflicts which can arise when managing contracts
2. ways of involving individuals, key people and communities in contract management and the reasons for doing so
3. how differing values and perspectives of service providers can have an impact on contract performance
4. how effective contract management can improve the value obtained from contracts
5. ways of monitoring contracts which are providing user directed support
6. legislation that is relevant to managing contracts
7. regulation, codes of practice and conduct and standards relevant to managing contracts
8. key government initiatives which affect the organisation's practices when managing contracts
9. research, current thinking, government reports and theories about best practice when managing contracts
10. models of monitoring and performance management
11. ways to encourage and promote individuals, families and communities taking control of monitoring service provision
12. the factors and measures to include when monitoring the sustainability impact of the service provided
13. **Rights**
14. legal and work setting requirements for equality, diversity, discrimination and rights
15. legal and work setting requirements for complaints and whistle blowing
16. your role and the roles of others in promoting **co-productive** commissioning
17. the role of service providers and partner agencies in promoting the rights, choices, wellbeing and active participation of **individuals**, **key people** and communities
18. how to deal with and challenge discrimination
19. your duty to report any acts or omissions, poor or discriminatory practice, resources or operational difficulties that could infringe the rights of individuals and key people

 **Safeguarding**1. legislation, national policy, frameworks, local systems and multi-disciplinary procedures relating to the safeguarding and protection of children, young people and adults
2. the responsibility that everyone has to raise concerns about possible harm or abuse, poor or discriminatory practices
3. factors that increase the risk of potential harm or abuse
4. the different types of harm or abuse, poor or discriminatory practice
5. indicators of potential harm or abuse
6. how and when to report any concerns about harm or abuse, including whistleblowing
7. what to do if you have reported concerns but no action is taken to address them

 **Sustainability**1. why it is important to work in a **political, economic, sociological, technological, legal and environmentally sustainable** way
2. how you can develop sustainable new ideas in your work role

 Partnership working1. the factors that can affect partnership working
2. techniques for working with individuals, key people and communities through co-productive commissioning, procurement and contracting
3. how to support the best interests of individuals, key people and communities
4. how to engage with social care and procurement professionals during commissioning, procurement and contracting activities
5. the **priorities, interests** and contributions of **stakeholders**
6. the **operational realities** of service providers
7. policies, procedures, guidance and protocols with others involved in partnerships
8. how to assess the effectiveness of partnership working

 **Risk management**1. the types of risk involved in commissioning, procurement and contracting
2. methods of identifying, assessing and managing risk
3. your role in identifying, managing and reporting risk
4. principles of positive risk-taking
5. **Your practice**
6. European, UK and country specific legislation, statutory codes, standards, regulations, frameworks and guidance relevant to your commissioning, procurement and contracting role
7. European, UK and country specific legislation, statutory codes, standards, frameworks and guidance relevant to service providers and partner agencies
8. how to access and work to procedures and agreed ways of working
9. lessons learned from government reports, research and inquiries into serious failures of health or social care practice and from successful interventions
10. how your role fits within your organisation and where you can go to for support
11. how to assess the impact of commissioning, procurement and contracting activities on individuals, key people and other stakeholders
12. how to measure the achievement of **outcomes**
13. the nature and importance of preventative and community based provision
14. factors that can cause conflicting demands
15. techniques for problem solving and innovative thinking
16. how to fulfil your role in managing resources, including your own time
17. how to cost and work with budgets
18. how and when to seek support with ethical conflicts and dilemmas in your work
19. your own background, experiences and beliefs that may have an impact on your practice
20. how to use **evidence-based practice** to justify your actions and decisions
21. how to contribute to the development of systems, practices, policies and procedures
22. how to challenge poor practice in your own and other organisations
23. **Theory for practice**
24. how the **social, medical and business** models impact on the achievement of outcomes
25. how commissioning, procurement and contracting can contribute to improved outcomes for individuals, key people and communities

 **Personal and professional development**1. principles of reflective, person centred, evidence based practice
2. your role in sharing and developing knowledge and practice with others, including , key people and communities
3. how to provide constructive feedback to others
4. how to identify and access opportunities for professional development
5. how to develop professional knowledge and practice through reflective supervision and appraisal
6. **Communication**
7. how to use communication as a foundation for co-productive commissioning
8. methods to promote effective communication with **colleagues**, individuals and other stakeholders
9. **Handling information**
10. legal requirements, policies and procedures for the security and confidentiality of information, taking account of commercial sensitivity and procurement practice
11. legal and work setting requirements for recording information and producing reports within timescales
12. how to identify, collect, measure and assess data and present it as information
13. how information software products can help you collect information
14. how to record written information with accuracy, clarity, relevance and an appropriate level of detail
15. methods of making data and information accessible for individuals, key people and other stakeholders
16. how and where electronic communications can and should be used

**Health and Safety**1. legal and work setting requirements for health, safety and security in the work environment
 |

|  |
| --- |
| Additional information  |
| Scope / range related to performance criteria: | The details in this field are explanatory statements of scope and/or examples of possible contexts in which the NOS may apply; they are not to be regarded as range statements required for achievement of the NOS.Where an individual finds it difficult or impossible to express their own preferences and make decisions about their life, achievement of this standard may require the involvement of advocates or others who are able to represent the views and best interests of the individual. Where there are language differences within the work setting, achievement of this standard may require the involvement of interpreters or translation services.The **individual** is the adult, child or young person receiving a service.**Key people** are those who are important to an individual and who can make a difference to his or her well-being. Key people may include family, friends, carers and others with whom the individual has a supportive relationship.**Stakeholders** are individuals and other people who have an interest in or are in some way affected by your work. They include service providers from the statutory, third or business sectors; regulators; colleagues and other professionals whose work contributes to the individual’s well-being and who enable you to carry out your role; commissioning partners or those who commission services from the same provider, whether or not they are joint arrangements.**Colleagues** are people who you work with in your own or other organisations, including your team, managers, service providers, other teams, other departments and other organisations.**Criteria** are factors that can be used to measure and make a judgement about whether or not an outcome has been achieved, how much progress has been made or how well something has been done.For services to be **sustainable**, they must deliver the current specified outcomes and be able to meet longer term desired social outcomes. This means taking account of any factors that might limit the outcomes that services can deliver in the future, in particular financial, social or environmental factors. It is particularly important in a climate where social care needs are forecast to increase more than available funding.**Outcomes** are the desired result of the activity for individuals, key people and communities. They move the focus from the processes, transactions and performance management to the differences that provision can actually make to people’s lives. It underpins citizen centred commissioning by placing individuals in a central role in evaluating the effectiveness of commissioning.**Performance information** is used to measure and make judgements about how well the service is achieving the outcomes by monitoring outcome measures and service targets, identifying opportunities for improvement and delivering change.The process of **co-production** involves developing relationships to collaborate with individuals, local people, community groups and organisations. It involves using and developing people’s skills and abilities throughout all commissioning, procurement and contracting activities, including designing and delivering services. It places individuals, key people and communities at the centre of decision making and control, taking account of the roles that people want to take.**Proactive** **contract monitoring** is regular, scheduled contract monitoring where information is actively collected from service providers, individuals, key people, communities or others about a specific issue or the whole service. It should take into account the provider’s past performance, structure, size and capacity.[**Reactive**](http://www.buy4wales.co.uk/PRP/social-care/review/contractmonitoring/reactivemonitoring.html) **contract monitorin**g responding to a concern, complaint or matter raised about a contracted service. This approach is usually focused on individual cases.**Escalating concerns** is where issues or concerns have accumulated and key agencies such as commissioners, service providers, regulators, the police, individuals, key people or others need to work together to address those issues or concerns.**Information** may be any form of communication from and about individuals, key people and other people and organisations. Information might be about legislation or working practices which should be passed on and for which your organisation may have procedures set in place. It includes performance information, previous contractual information, confidential and public information.A **contracted service** can bespecified and directed by commissioners, individuals, key people, communities or others using services.An **organisation** is the agency, company or local authority for whom you work, volunteer, own or run; if you receive direct payments or fund your own services, it means you and the people who work for you.**Resources** include financial, human and physical resources as well as time.**Contingencies** areunexpected issues that were not in the original plans or contract and can result in additional expenditure or may need extra time or people to deal with them. **Monitoring activity** includesproactive monitoring, reactive monitoring and self-assessment.**Issues** may relate toperformance, capacity, capability, resources or changes in legislation, regulation or guidelines |

|  |  |
| --- | --- |
| Scope / range related to knowledge and understanding:Values: | The details in this field are explanatory statements of scope and/or examples of possible contexts in which the NOS may apply; they are not to be regarded as range statement required for achievement of the NOS.**All knowledge statements must be applied in the context of this standard.**The process of **co-production** involves developing relationships with individuals, key people and communities, recognising the expertise that people have and the support that they offer to each other. It places individuals, key people and communities at the centre of decision making and control.The **individual** is the adult, child or young person receiving a service.**Key people** are those who are important to an individual and who can make a difference to his or her well-being. Key people may include family, friends, carers and others with whom the individual has a supportive relationship.The **political, economic, sociological, technological, legal and environmental** model (also known as the PESTLE model) is used to analyse the influences that an organisation has on its environment, both now and in the future. It is used to inform decisions and enable the organisation to respond to change.The **priorities and interests** of stakeholders encompass the outcomes sought and are influenced by different philosophies, principles, priorities and codes of practice and are affected by their differences in size, structure, governance and capacity. They may change over time in response to national and local factors.**Stakeholders** are individuals and other people who have an interest in or are in some way affected by your work. They include service providers from the statutory, third or business sectors; regulators; colleagues and other professionals whose work contributes to the individual’s well-being and who enable you to carry out your role; commissioning partners or those who commission services from the same provider, whether or not they are joint arrangements.The **operational realities** of service providers are the factors that impact on how they are able to run their other services, in particular where there is competition for funding and customers.An **organisation** is used to mean the organisation for which you work or volunteer, or which you own or run. For people funding their own services or using other self directed support, it means you and the people who may work for you.**Outcomes** are the desired result of the activity for individuals, key people and communities. They move the focus from the processes, transactions and performance management to the differences that provision can actually make to people’s lives. It underpins citizen centred commissioning by placing individuals in a central role in evaluating the effectiveness of commissioning.**Evidence based** **practice** uses systems, processes and ‘practice wisdom’ that has been proved to be effective in supporting the achievement of positive outcomes. Evidence may have been drawn from a variety of sources: research, both formal and informal, and the views and opinions of individuals, key people and other stakeholders involved in the delivery of care services.The **social model** describes disability as a series of barriers located in society and not an individual, for example attitudes towards people in need or physical barriers.The **medical model** described illness or disability as an inherent part of the individual, and as such would attempt to treat or cure the person. **Business models** refers to an organisation’s need to function as a business within financial constraints and in some cases to make profit, for example social enterprises and private businesses. **Colleagues** are people who you work with in your own or other organisations, including your team, managers, service providers, other teams, other departments and other organisations.Adherence to codes of practice or conduct where applicable to your role and the principles and values that underpin your work setting, including the rights of children, young people and adults. These include the rights:To be treated as an individualTo be treated equally and not be discriminated againstTo be respectedTo have privacyTo be treated in a dignified wayTo be protected from danger and harmTo be supported and cared for in a way that meets their needs, takes account of their choices and also protects themTo communicate using their preferred methods of communication and languageTo access information about themselvesAll aspects of commissioning, procurement and contracting should seek to build on these underpinning values and should:Respect the inherent worth and dignity of all peopleRespect the human rights of children, young people and adultsRespect people’s right to take positive risksBe transparentBe accountableBe proportionalBe consistentBe targetedBe impartialEnable providers |

|  |  |
| --- | --- |
| Developed by | Skills for Care and Development |
| Version number | 2 |
| **Date approved** | February 2014 |
| Indicative review date | February 2019 |
| **Validity** | Current |
| **Status** | Original |
| Originating organisation | Skills for Care and Development |
| **Original URN** | CPC305 |
| Relevant occupations | Childcare and Related Personal Services; Health and Social Care; Planning Officer; Strategy Officer |
| **Suite** | Commissioning, Procurement and Contracting for Care Services |
| **Key words** | Performance monitoring; contract monitoring; children and young peoples services; health and social care; early years services |