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 undertaking commissioning, procurement and contracting in relation to care services.

Performance criteria	**Agree a monitoring plan**

You must be able to:

P1 engage **individuals, key people, stakeholders** and **colleagues** in planning how services will be monitored

P2 identify the **criteria** that will be used to assess whether services are accessible, efficient, **sustainable** and deliver **outcomes** appropriate to service users' needs

P3 specify how **performance information** will be measured and collated to monitor the service provider's progress towards achieving outcomes

P4 ensure that individuals, key people and others and the provider's workforce have the opportunity to participate in monitoring activities

P5 work **co-productively** to agree a schedule of **proactive** contract **monitoring** activity

P6 work co-productively to agree how concerns about service provision will be managed, including **reactive contract monitoring** and **escalating concerns**

P7 work co-productively to agree how information from contract monitoring will be distributed and used

P8 ensure that you have accurate past and current **information** about the **contracted service(s)**

P9 check that the monitoring plan meets **organisational** priorities, requirements and guidance

P10 ensure that the monitoring plan is realistic and sustainable in light of available **resources** and **contingencies**

P11 review progress and priorities and revise monitoring plan appropriately

Undertake monitoring of performance

You must be able to:

P12 ensure that the all people involved in the **monitoring activity** clearly understand and agree the purpose of the activity and the proposed methodology

P13 work co-productively to implement agreed monitoring activities

P14 carry out monitoring activities with as little disruption as possible to staff and individuals, key people or others using the service

P15 take steps to deal with issues or concerns arising outside the scope of the original monitoring plan, including reactive contract monitoring and escalating concerns

P16 ensure individuals, key people and others who use the service are kept informed of the progress and timescales of the monitoring activity

P17 assess performance in line with agreed methods, schedule and criteria

P18 record the results of monitoring activity and any issues or concerns about service provision

P19 ensure that monitoring reports provide evidence of performance and the sources of evidence

P20 clearly indicate any improvements required with timescales when completing monitoring reports

P21 identify who is responsible for ensuring any required improvements

P22 distinguish between requirements and recommendations when completing monitoring reports

P23 complete the monitoring plan and record reasons for any areas not implemented

Share and feedback the results of monitoring

You must be able to: P24 present feedback in a way that promotes the understanding and co-operation of the service provider

P25 identify and act promptly upon any **issues** that may affect the achievement of outcomes for individuals

P26 work promptly with individuals, key people, service providers and colleagues to address concerns about danger, harm, abuse and/or promotion of individual rights

P27 seek immediate support and assistance where the situation is beyond your competence to deal with

P28 provide accurate advice to service providers on how to address any issues identified through monitoring activities

P29 work with the service provider to develop an action plan that addresses issues in the monitoring report

P30 follow up any action points resulting from the monitoring activity

P31   explain the service provider's right to challenge the outcomes of the monitoring activity and the process for doing so

Knowledge and understanding		**Specific to this NOS**

You need to know and understand:

K1 how to manage ethical dilemmas and conflicts which can arise when managing contracts

K2 ways of involving individuals, key people and communities in contract management and the reasons for doing so

K3 how differing values and perspectives of service providers can have an impact on contract performance

K4 how effective contract management can improve the value obtained from contracts

K5 ways of monitoring contracts which are providing user directed support

K6 legislation that is relevant to managing contracts

K7 regulation, codes of practice and conduct and standards relevant to managing contracts

K8 key government initiatives which affect the organisation's practices when managing contracts

K9 research, current thinking, government reports and theories about best practice when managing contracts

K10 models of monitoring and performance management

K11 ways to encourage and promote individuals, families and communities taking control of monitoring service provision

K12 the factors and measures to include when monitoring the sustainability impact of the service provided

Rights

You need to know and understand:

K13 legal and work setting requirements for equality, diversity, discrimination and rights

K14 legal and work setting requirements for complaints and whistle blowing

K15 your role and the roles of others in promoting **co-productive** commissioning

K16 the role of service providers and partner agencies in promoting the

rights, choices, wellbeing and active participation of **individuals**, **key people** and communities

K17 how to deal with and challenge discrimination

K18 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

You need to know and understand:

K19 legislation, national policy, frameworks, local systems and multi-disciplinary procedures relating to the safeguarding and protection of children, young people and adults

K20 the responsibility that everyone has to raise concerns about possible harm or abuse, poor or discriminatory practices

K21 factors that increase the risk of potential harm or abuse

K22 the different types of harm or abuse, poor or discriminatory practice

K23 indicators of potential harm or abuse

K24 how and when to report any concerns about harm or abuse, including whistleblowing

K25 what to do if you have reported concerns but no action is taken to address them

Sustainability

You need to know and understand:

K26 why it is important to work in a **political, economic, sociological, technological, legal and environmentally sustainable** way

K27 how you can develop sustainable new ideas in your work role

Partnership working

You need to know and understand:

K28 the factors that can affect partnership working

K29 techniques for working with individuals, key people and communities through co-productive commissioning, procurement and contracting

K30 how to support the best interests of individuals, key people and

communities

K31	how to engage with social care and procurement professionals during commissioning, procurement and contracting activities
K32	the **priorities, interests** and contributions of **stakeholders**
K33	the **operational realities** of service providers
K34	policies, procedures, guidance and protocols with others involved in partnerships
K35	how to assess the effectiveness of partnership working

Risk management

You need to know
and understand:

K36	the types of risk involved in commissioning, procurement and contracting
K37	methods of identifying, assessing and managing risk
K38	your role in identifying, managing and reporting risk
K39	principles of positive risk-taking

Your practice

You need to know
and understand:

K40	European, UK and country specific legislation, statutory codes, standards, regulations, frameworks and guidance relevant to your commissioning, procurement and contracting role
K41	European, UK and country specific legislation, statutory codes, standards, frameworks and guidance relevant to service providers and partner agencies
K42	how to access and work to procedures and agreed ways of working
K43	lessons learned from government reports, research and inquiries into serious failures of health or social care practice and from successful interventions
K44	how your role fits within your organisation and where you can go to for support
K45	how to assess the impact of commissioning, procurement and contracting activities on individuals, key people and other stakeholders

K46	how to measure the achievement of **outcomes**
K47	the nature and importance of preventative and community based provision
K48	factors that can cause conflicting demands
K49	techniques for problem solving and innovative thinking
K50	how to fulfil your role in managing resources, including your own time
K51	how to cost and work with budgets
K52	how and when to seek support with ethical conflicts and dilemmas in your work
K53	your own background, experiences and beliefs that may have an impact on your practice
K54	how to use **evidence-based practice** to justify your actions and decisions
K55	how to contribute to the development of systems, practices, policies and procedures
K56	how to challenge poor practice in your own and other organisations

Theory for practice

You need to know and understand:

| K57 | how the **social, medical and business** models impact on the achievement of outcomes |
| K58 | how commissioning, procurement and contracting can contribute to improved outcomes for individuals, key people and communities |

Personal and professional development

You need to know and understand:

K59	principles of reflective, person centred, evidence based practice
K60	your role in sharing and developing knowledge and practice with others, including , key people and communities
K61	how to provide constructive feedback to others
K62	how to identify and access opportunities for professional development
K63	how to develop professional knowledge and practice through reflective supervision and appraisal

Communication

You need to know
and understand:

K64	how to use communication as a foundation for co-productive commissioning
K65	methods to promote effective communication with **colleagues**, individuals and other stakeholders

Handling information

You need to know
and understand:

K66	legal requirements, policies and procedures for the security and confidentiality of information, taking account of commercial sensitivity and procurement practice
K67	legal and work setting requirements for recording information and producing reports within timescales
K68	how to identify, collect, measure and assess data and present it as information
K69	how information software products can help you collect information
K70	how to record written information with accuracy, clarity, relevance and an appropriate level of detail
K71	methods of making data and information accessible for individuals, key people and other stakeholders
K72	how and where electronic communications can and should be used

Health and Safety

You need to know
and understand:

K73	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 contract monitoring 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 be specified 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 are unexpected 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 includes proactive monitoring, reactive monitoring and self-assessment.

Issues may relate to performance, capacity, capability, resources or changes in legislation, regulation or guidelines

Scope / range related to knowledge and understanding:	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.

Values:	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 individual

To be treated equally and not be discriminated against

To be respected

To have privacy

To be treated in a dignified way

To be protected from danger and harm

To be supported and cared for in a way that meets their needs, takes account of their choices and also protects them

To communicate using their preferred methods of communication and language

To access information about themselves

All aspects of commissioning, procurement and contracting should seek to build on these underpinning values and should:

Respect the inherent worth and dignity of all people

Respect the human rights of children, young people and adults

Respect people's right to take positive risks

Be transparent

Be accountable

Be proportional

Be consistent

Be targeted

Be impartial

Enable providers

SCDCPC305
Work with providers to monitor and review performance against outcomes

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