

Maintenance of Lifts and Hoists

Performance Monitoring Framework

Contract Management and Quality Assurance Schedule

Performance and Quality Assurance Standards

Provider will be monitored against a number of predetermined performance and quality standards which are highlighted in the Schedule.

The objectives of the Key Performance Indicators and Quality Assurance standards are to:

- ensure that the Services are of a consistently high quality and meet the requirements of the Council and outcomes of individual clients;
- provide a mechanism whereby the Council can attain meaningful recognition of inconvenience and/or loss resulting from the Provider's failure to deliver the level of service for which it has contracted to deliver; and
- the Provider to comply with and to expeditiously remedy any failure to comply with the Key Performance Indicators.
- respond to the referral of a request for services. The Provider shall, at all times, provide the Services in such a manner that the Key Performance Indicators are achieved.

1.1 Quality Specific Standards

The Provider is expected to have in place robust governance framework and supporting processes, which ensure that it is compliant with appropriate legal requirements and standards (also refer to section 1.6 of the Service Specification).

We expect the governance framework to include but not be limited to the following:

- Communication between clients, families, carers and staff (including Managers and Clinicians);
- Communication between staff across wider services, including Clinicians and Managerial staff;
- Effective reporting and monitoring mechanisms for issues of concern whether relating to the clients, or people connected with clients or employees;
- Clients recording;
- Working with families and carers;
- Service IT / data recording and storage systems;
- Incident reporting and health and safety matters;
- Children & Adult Protection – Safeguarding;
- Reporting of incidents and accidents to staff, volunteers and clients;
- Health & Safety Inspection, and Fire Safety;
- Risk Management and Contingency Planning
- Complaints and Compliments management for paid staff, volunteers and clients;
- Clients engagement and co-production;
- Records Management;
- Equality of opportunity in service provision, recruitment and employment;
- Occupational Health;
- Information sharing and Information Security;

- Policies relating to confidentiality of information;
- Codes of conduct for staff and clients;

All appropriate policies and protocols as detailed in the Maintenance of Lifts and Hoists Service Specification must be in place following contract award and prior to the service mobilisation phase being completed. The Authorised Officer would expect to receive information and assurance that these are current and in place. Clear and routine review arrangements to maintain effective governance would also be expected. Clients must be made aware of the range of policies which may impact upon them and be given access to them should they wish.

1.1.2 Quality Assurance

The Provider is required to complete quality assurance checks in relation to Service delivery to ensure that response outcomes are being met and that contract compliance is achieved.

- a) The Provider will have quality assurance processes which clearly include the standards and indicators to be achieved and monitored on a continuous basis by the Provider to ensure that the Service is delivered in accordance with the service specification
- b) The quality assurance processes will include the standards required, the method of attaining the standards and the audit procedure.
- c) The quality assurance processes will analyse feedback and measure the success of the Service in meeting the requirements set out in this Service Specification and the Monitoring Schedule.
- d) A quality assurance report summary will be made available to clients and the Council upon request.
- e) There must be various means for clients to supply feedback with regards to Service delivery. These methods need to take into account clients and their preferences as to the mechanism of feedback (questionnaire, interview, phone call, Service review etc.) and the most appropriate format (i.e. language, pictorial, font size).
- f) When negative written feedback is received by the Provider, either formally or informally, a formal written response from the Provider will be supplied noting its receipt and the action that will follow. This feedback will be copied to the Council.
- g) The Provider will be committed to continuous service development.

2.1 Performance Management

2.1.1 Performance Management Reporting

The Provider must ensure that a dedicated 'Performance Management Function' is established as part of the contract to provide system wide reporting on the Maintenance of Lifts and Hoists Service. The Provider will ensure the effectiveness

of such reporting, demonstrating assurance processes for systems and procedures to Commissioners and other key stakeholders, and support the continued development of both output and outcome monitoring for the service.

The Provider is required to complete performance checks in relation to service delivery to ensure that outcomes and contract compliance are being met.

- a) The Provider is responsible for having performance and quality assurance processes that are capable of providing evidence of achieving outcomes, quality of service and Key Performance Indicators using an appropriate tool.
- b) It is the Providers' responsibility to submit performance and quality information and failure to complete and return the required information will be dealt with under Service failure and contractual action.
- c) The Council may choose to further verify submitted claims through feedback from clients, Council Staff, Provider staff interviews and/or feedback as required.
- d) The Provider must have robust business continuity and contingency plans in place with regards to all levels of Service interruption or disruption. If Service interruption or disruption occurs, the Provider is to notify the Council immediately and ensure that alternative provision is sought. The Council will seek to recoup any charges incurred.
- e) The Provider will need to evidence ongoing business viability in order that risks or threats to Service delivery are minimised and any threat to the Service User, the overall organisation or the Council is highlighted well in advance to the Council of any potential or actual incident.
- f) The Provider will allow inspection (insofar as it is relevant to the provision of Maintenance of Lifts and Hoists Service and the financial stability of the Provider) of financial records upon being given reasonable notice in writing. This shall include details of rates of pay for staff to ensure legal compliance and any other information deemed necessary by the Council to ascertain the stability of The Provider workforce or business.
- g) The Provider must ensure that their nominated managers attend meetings and submit monitoring information to the Council.
- h) The Council reserves the right to review or amend the contract management and quality assurance process during the contract term with one months' notice.

Reporting requirements may change over the lifetime of this contract to embrace wider governance reporting structure requirements. Authorised Officers will hold quarterly contract monitoring meetings with annual performance reviews. The Provider will also be required to attend provider forums and work in partnership with service user forums. Authorised Officers will co-produce contract metrics with the Supplier in instances when required eg a change in Legislation, a change in contract etc..

2.2 Performance Indicators

2.2.1 Key performance Indicators (KPI's)

The Council has set Key Performance Indicators (KPI's) and targets which will be used as part of the service evaluation. Providers must submit their KPIs in their monthly and annual returns and the Council will conduct various validation spot checks to determine the accuracy of the data submitted and the quality of the service delivered to Residents. (See Appendix 1, sections 1 & 2)

If the provider fails to reach the relevant KPI targets, or does not adhere to the specified timescales for submitting KPI information, they will be subject to performance improvement measures.

Should performance levels consistently fall below the expected targets outlined in Appendix 1 section 1 then an action improvement plan will be required.

2.3 Outcomes

The Provider must deliver a service to meet individual client Outcomes and the service is to be delivered in line with the ethos and standards as detailed in the Service Specification.

(See also Outcomes in Appendix 1 section 3)

2.4 Client Satisfaction Surveys

This is one way of the Provider determining and evidencing the service delivery has achieved.

The Provider will collate all feedback centred around clients detailing information on service improvements, the quality of provision and whether outcomes are being achieved, and report/make this available to the Council upon request as specified within the monitoring schedule.

In order for the Council to ensure that the Provider is actively seeking client feedback and to identify areas of good practice, the Provider shall conduct a Client Satisfaction Survey each calendar year, the results of which will be sent to all clients , CEC funded or otherwise, or their appropriate representative.

The Council may also conduct routine client Satisfaction Surveys to directly obtain thoughts and views about the service delivered by the Provider. These satisfaction surveys by the Council have no minimum or maximum frequency and can be completed at any time during the duration of the Agreement.

The format and method for conducting each Satisfaction Survey will be at the discretion of the Provider; however the Council reserves the right to request the Provider to alter the format, method or content of the Satisfaction Surveys in order to ensure that the relevant information is obtained.

As soon as possible following the completion of each satisfaction survey and in any event within two (2) months of completing each Satisfaction Survey, the Provider shall make available the survey, its results and details of action taken in response to the survey.

The Provider shall permit the Council to use the information which is generated by the satisfaction surveys to assist it in future commissioning and procurement activities.

The Council may at its discretion gather clients insight information. The Council may ask the Provider to address any issues which are highlighted through this insight information. The Provider will take steps to address the issues raised by the Council within the timescales set out.

The results must be available to the Council by 30th April every year. Failure to comply will result in Service failure and will be dealt with via contractual action.

3. 0 Monitoring submission requirements

3.1 Monitoring Returns

The Provider is required to collate and return the monitoring information to the Council using the templates provided by the Council. The Council retains the right to amend or update the templates in if required, and Providers will be notified if any changes are made.

The Provider will strictly adhere to the timescales set out in this Schedule for returning monitoring information and failure to do so will result in service failure and / or contractual action being taken.

The Provider will comply with contract monitoring arrangements including sample checks of monitoring record (electronic or otherwise) and monitoring return validation. The Provider will be informed and consulted on changes to contract management arrangements as and when they occur.

3.1.1 Monthly Monitoring Return

The Provider shall provide a monthly return to the Council giving the information requested in Appendix 1 in relation to the relevant reporting period.

Monthly information is required to be received on the 15th of each month relevant to the preceding months data (or the last working day prior to this date).

3.1.2 Quarterly Monitoring Return

In addition to the information required at the monthly return, the Provider will submit a quarterly return to the Council in line with Appendix 1.

Monitoring returns information is required to be received on the 15th of the month following the previous quarter (or the last working day prior to this date).

3.1.3 Annual Monitoring Return

The Provider shall make an annual return to the Council which shall provide evidence of each of the areas identified in Appendix 1. This information is to be submitted annually by no later than 30 April.

3.2 Submission of Returns

The Council is committed to simplifying the collection and analysis of monitoring information and will implement a process which will require submission of information electronically either by email or a secure portal. The Provider is required to have the facility to undertake this.

In the event that the Provider fails to submit accurate monitoring information in accordance with this schedule, this shall constitute a Service Failure.

3.3 Underperformance by Provider

3.3.1 Under performance of Key Performance Indicators or Quality Standards

Should the Council identify that a Provider is underperforming against the terms of the Agreement:

- a) The Provider must produce a Service Improvement Action Plan which will be agreed with the Council and the Council may specify additional actions or requirements proportionate to any underperformance, including timescales.
- b) Where there has been a consistent failure to achieving the KPI targets the Council reserves the right to reduce the costs paid for the services provided in line with the terms of the contract.

3.3.2 Implementation of Improvement Action Plan

Approval and implementation by the Council of any Improvement Action Plan shall not relieve the Provider of any continuing responsibility to achieve the Key Performance Indicators, or remedy any failure to do so, and no estoppels or waiver shall arise from any such Approval and/or implementation by the Council.

3.4 Data Submission KPI's

The below KPI's are relevant to any information or data which the Provider is contractually obliged to submit to the Council, including finance data, monitoring returns and any other information as detailed within the Monitoring Schedule or Service Specification.

a) Timeliness of data and information submissions

Providers are to submit the required data and information to the Council as per the stated timescales e.g. monthly, quarterly, annually

Target: 95%

b) Accuracy of data and information submissions

Providers are to submit accurate data and information to the Council (and are to ensure that any checking processes put in place by the Council is adhered to prior to submitting the data or information)

Target: 95%

If data or information is not submitted to the Council as per the required timescales for three consecutive periods, then this will result in service failure and contractual or improvement action being taken.

The three periods are proportionate to the set timescales in place within this agreement, e.g. if a data submission is required on a monthly basis and the data has not been submitted for three months this will result in service failure.

The accuracy of data will be spot checked and verified by the Council using various methods including checks of documentation such as assessments, cross referencing invoice and variations data and speaking with stakeholders.

4. Contract Management and Quality Assurance Governance and Validation

4.1 Contract Management and Quality Assurance Meetings

The Provider will be required to attend regular contract management and quality assurance meetings chaired by representatives of the Council. These meetings will be set by the Council from the contract commencement date and will usually be in three monthly intervals.

The Council will arrange to meet with the Provider annually to review its performance against the provisions of this Specification and to discuss its plans for Service improvement. The Council reserves the right to alter the frequency of these meetings. Wherever possible, the meetings will be arranged by the Council in such a way that they do not impede the Provider in the delivery of the Service.

From time to time, officers from the Council will visit the Provider to verify evidence of service activity and compliance with the requirements of the agreement and the specification.

The Council will decide which Council representatives are to be in attendance at the meetings which may include Council staff from teams other than Commissioning/ Contract Management and Quality Assurance.

4.2 Monitoring and Quality Assurance Audits

Monitoring, quality assurance, inspection or audit can be announced or unannounced and will be carried out by Council representatives. Monitoring and quality assurance audits can be carried out as part of a routine monitoring schedule for Providers to ascertain contract compliance or in response to general or specific

concerns. The audits have no set duration and will depend on what aspects of the service are being monitored and quality assured.

The Provider may be subject to monitoring, quality assurance or audits and service reviews by the Council at any time during the duration of the Agreement. The Provider and staff must co-operate and engage in the process.

The audits can include on-site visits to the Providers offices and Council representatives have the right to access all information in relation to the Maintenance of Lifts and Hoists Service provided to clients: including but not limited to

- a) Full staff records (including DBS checks, insurance details, references, application forms, supervisions / appraisal frequency tracker, disciplinary records, training records)
- b) Full client records (including assessments, risk assessments, reviews, referrals) via visits to the Providers Office.
- c) Full complaints records (including details of complaints, investigation, responses to complainants, actions taken).
- d) Full safeguarding records (including details of safeguarding alerts and concerns, enquiries, responses to safeguarding allegations, actions taken.
- e) All levels of insurance certificates.
- f) Any other documentation deemed relevant by the Council to a client needs, wellbeing, health or in evidencing personal outcomes.
- g) Fire Safety documentation.

The Council may also undertake announced or unannounced spot checks to satisfy itself as to the ongoing quality of service delivery and to validate performance data. Should any issues be identified, the Provider will ensure that remedial action is taken as per the Councils feedback and within the timescale specified at the time of notification or discussion.

Additional or more in-depth inspections or monitoring will be triggered by any of the following:

- a) Whereby an active informal Improvement Notice or formal Default Notice is in place.
- b) An increase in safeguarding incidents, or receipt of a serious safeguarding referral which may indicate risk to clients.
- c) Failure to meet required Key Performance Indicators or Best Practice elements.
- d) Concerns arising from previous audits and reviews.
- e) Concerns arising from clients or representative feedback.
- f) Social Care reviews, concerns or feedback.
- g) Complaints (including verbal, written, formal and informal).
- h) Whistle blowing.
- i) Changes in local branch / local management for this contract without adequate contingencies, handover or not informing the Council.

- j) Any other issues deemed to be a risk.

Appendix 1 - Monitoring Return

Key Performance Indicators and Quality Framework

Service Response Times		Target	Reporting period
1.1	Installation of Refurbished Equipment – 5 days for site survey (report provided to contract manager prior to install). Install within 10 days once agreed by contract manager	100% 90%	Monthly and annually
1.2	Maintenance/Faults – HIGH PRIORITY within 3 hours	100% 90%	Monthly and annually
1.3	Maintenance/Faults – MEDIUM PRIORITY within 24 hours	100% 90%	Monthly and annually
1.4	Removals - URGENT within 3 working days	100% 90%	Monthly and annually
1.5	Removals - STANDARD within 10 working days	100% 90%	Monthly and annually
1.6	Service – ANNUAL/BI-ANNUAL CHECKS (in line with manufacturers guidelines)	100% 90%	Monthly and annually
1.7	Customer and staff satisfaction survey response level	65% 50%	Annually

If Service Levels consistently fall below the above targets (IN RED) then an Improvement action plan will be required.

Service Delivery		Additional detail	Target	Reporting period
2.1	Client profile	Client ID reference, forename, surname, gender, age, post code.		Monthly and annually
2.2	Number of new clients in period	Date and source of referral ie Care team		Monthly and annually
2.3	Equipment removed and in stock/Recycled	Broken down by equipment type and number, reason for removal, any remedial work required, and evidence of savings made. (All removals to be agreed with contract manager)		Monthly and annually
2.4	Number of services undertaken in period	Date due, date of visit, service user, details of any further action required and date of completion		Quarterly and annually
2.5	Number of maintenance Visits	Date of request, date of repair/completion, service user, scheduled/unscheduled and outcome ie repaired or needs replacing, details of the work carried out		Monthly and annually
2.6	Number of Removals	Broken down by date, service user, reason for removal, equipment type, equipment not removed and reason why		Monthly and annually
2.7	Inventory of equipment being maintained	Type, client name, address, service/repair history (inc. date carried out and changes to kit), any warranty put in place due to installing an item		Monthly and annually
2.8	Inventory or spare parts	Spares in store and any items suitable for re-installation		
2.9	Customer and staff satisfaction	Broken down by level ie Excellent, good, requires improvement, poor	95% good-excellent	Monthly and annually

	Outcomes	Outcome Indicator / Monitoring Tool	Reporting period
3.1	Enable clients to feel safe and secure in their own home	Service user feedback	Quarterly and annually
3.2	Use of equipment to help maintain their independence, health and wellbeing	Service user feedback	Quarterly and annually
3.3	Prevent or delay the escalation of health and social care needs	Service user feedback	Quarterly and annually
3.4	Help to manage risk in the home and reduce accidents and falls	Service user feedback	Quarterly and annually

Social Value Measures

Objective	Outcomes	Evidence (annually)
1. Promote Employment & Economic Sustainability	Outcome 1: More local people in work	Number of local people employed through this contract
	Outcome 2: Responsible businesses that do their bit for the local community	Engagement with local communities
2. Raise the living standard of local residents	Outcome 3: A Local workforce which is fairly paid and positively supported by employers	Appropriate market salary for staff. Other support offered to employees.
3. Promote Participation and Citizen Engagement	Outcome 4: Individuals and communities enabled and supported to help themselves	Engagement with local communities
4. Promote Equity and Fairness	Outcome 5: Acute problems are avoided and costs are reduced by investing in prevention.	Equipment used to prevent escalation of needs
5. Promote Environmental Sustainability	Outcome 6: We are protecting our physical environment and contributing to climate change reduction.	Re-cycling of equipment, reduced carbon footprint