**CONSULTATION – APPENDIX 2**

**Key Performance Indicators (KPIs)**

1. **Introduction**
   1. The Authority shall monitor the Provider’s general delivery of the Services in accordance with the terms of the Agreement. The Authority shall also measure some particular elements of the Provider’s delivery of the Services using the KPIs detailed in this Appendix 2.
   2. The aim of the KPIs is to measure whether:
      1. the Provider is meeting the Bolton Quality Standards; and
      2. the Service User is maintaining or improving the Resource Allocation Score (RAS) received as part of their initial assessment.
   3. In the event that the Provider at any time during the Agreement Period suspects that it will or may fail to meet any of its obligations regarding the Services and the Provider’s delivery thereof, including those measured by the KPIs, the Provider shall notify the Authority promptly.
   4. The Authority shall review the KPI thresholds as and when reasonably required during the Agreement Period, but no more frequently than annually.
   5. The Authority will monitor the KPIs on a rolling programme over each Payment Period. Each Payment Period consists of 4 weeks and the dates are detailed on a schedule issued by the Authority. One week covers Monday to Sunday.
   6. The Provider shall be eligible to receive the Enhanced Hourly Rate, as detailed in Appendix 3, if the Provider achieves the KPIs.
2. **The KPIs relating to Service User Group One**
   1. The Authority shall use 4 KPIs to measure specific elements of the Provider’s delivery of the Services:
      1. KPI 1 – Manual Overrides
      2. KPI 2 – Visit Times
      3. KPI 3 – Support Worker Consistency
      4. KPI 4 – Support Worker Quality
   2. The Provider must achieve KPI 1 (Manual Overrides) in each of the 4 weeks contained in a Payment Period. If the Provider fails to achieve KPI 1 (Manual Overrides) in any Payment Period the Authority shall not be in a position to accurately measure achievement of KPIs 2 – 3 inclusive.
   3. In the event that the Provider achieves KPI 1 in any Payment Period the Authority will measure the Provider’s delivery of the Services against KPIs 2 – 3.
   4. For Service User Group One the Provider shall be eligible for the Enhanced Hourly Rate for that Payment Period if the Provider:
      1. achieves KPI 1 in each and every week contained in a Payment Period,

and

* + 1. achieves KPI 2, KPI 3 and KPI 4 in 3 out of the 4 weeks contained in the Payment Period.

**KPI 1 – Manual Overrides**

* 1. The Provider shall record its delivery of the Services using the ECM System.

* 1. With regard to any delivery of the Services which is not logged in real time via the ECM System, the maximum tolerance for manual overrides is 15% per week over each and every Payment Period, and, therefore, no less than 85% of all Visits taking place in respect of Service User Group One in each week must be logged in real time (both start and finish times).
  2. Manual overrides will be measured using data from those ECM reports which the Provider must produce and deliver to the Authority.
  3. The above percentages will be calculated after deducting Visits in respect of Service User Group One where the Service User does not have a landline or the Service User refuses to allow the Provider to access the landline, PROVIDED always that the Provider keeps a written record of this.
  4. The Provider shall be eligible to receive the Enhanced Hourly Rate, in respect of Service User Group One, if 85% or more of all Visits taking place are logged in real time (both start and finish times) in each of the 4 weeks contained in a Payment Period.

**KPI 2 – Visit Times**

* 1. The Provider shall agree a scheduled Visit time with each Service User, which time shall be within the agreed ordered time banding.
  2. KPI 2 shall be used to measure the time difference between the scheduled time of the Visit and the actual time of the Visit over each 4 week period during the Agreement Period.
  3. The Provider shall be eligible to receive the Enhanced Hourly Rate in the event that 70% or more of all Visits taking place in respect of Service User Group One in 3 out of the 4 weeks contained in a Payment Period occur at the agreed time or within a 30 minute tolerance, before or after.
  4. In the event that 60% or less of all Visits in respect of Service User Group One in 3 out of the 4 weeks contained in a Payment Period do not take place at the agreed time or within the tolerance detailed above, the Authority shall apply performance improvement measures.
  5. The Authority shall use data from the ECM System to measure this KPI 2.
  6. The Authority shall have the absolute right to determine at its discretion whether to take into account any failure of Support Worker to attend a Visit at the agreed time or within the tolerance where the failure is alleged to have occurred due to circumstances beyond the Support Worker’s control.

**KPI 3 – Support Worker Consistency**

* 1. The maximum number of Support Workers undertaking Visits to a Service User over each week contained in a Payment Period is governed by the number of Visits a Service User is scheduled to receive, as follows:

|  |  |
| --- | --- |
| **Number of Visits Service User receives per week** | **Maximum number of different Support Workers per week** |
| 1 to 3 | 2 |
| 4 to 6 | 3 |
| 7 | 4 |
| 8 to 14 | 5 |
| 15 to 21 | 7 |
| Greater than 22 | 9 |

* 1. The Provider shall be eligible to receive the Enhanced Hourly Rate in the event that the Provider achieves a compliance level of 70% or more in respect of the bandings in 3 out of the 4 weeks contained in a Payment Period.
  2. In the event that the Provider fails to achieve a compliance level of 60% in respect of the bandings detailed above in 3 out of the 4 weeks contained in a Payment Period, the Authority shall apply performance improvement measures.
  3. The Authority shall use data from the ECM System to measure this KPI 3.

**KPI 4 - Support Worker Quality**

* 1. The Provider is required to provide consistency in respect of the skill level of the Support Worker it uses to deliver the Services.
  2. Accordingly, KPI 4 measures the number of Support Workers used in the delivery of the Services who have been in the employment of the Provider for 12 weeks or more and have achieved or are working towards achieving, level 2 or level 3 of the QCF in Health & Social Care (or equivalent qualification including but not limited to Level 2 or 3 of the NVQ in Health and Social Care).
  3. The Authority shall use the information which the Provider submits to the Authority for each and every Payment Period via the Provider Activity Return, to measure this KPI 4.
  4. The Provider shall be eligible to receive the Enhanced Hourly Rate in the event that the Provider achieves a compliance level of 70% or more in respect of the Support Workers’ skill levels in 3 out of the 4 weeks contained in a Payment Period.
  5. The Authority, acting at its absolute discretion, reserves the right to waive the requirement for 12 weeks’ continuous employment during the first 12 weeks of the Agreement Period.

1. **KPIs relating to Service User Group Two**
   1. The Authority shall measure specific elements of the Provider’s delivery of the Services to Service User Group Two using KPIs 3 and 4, as detailed above.
   2. The Provider shall be eligible to receive the Enhanced Hourly Rate in the event that the Provider achieves:
      1. in respect of KPI3, a compliance level of 70% or more in respect of the bandings in 3 out of the 4 weeks contained in a Payment Period; and
      2. in respect of KPI 4, a compliance level of 70% or more in respect of the Support Workers’ skill levels in 3 out of the 4 weeks contained in a Payment Period.
   3. The Authority also reserves the right to implement the following two further KPIs at any time after the date of the first anniversary of the Commencement Date, subject to the Authority serving no less than 8 weeks’ written notice on the Provider. In the event that that following 2 KPIs are implemented, the Provider shall be required to achieve the additional KPIs from the specified implementation date (in addition to KPIs 3 and 4) in order to be eligible to receive the Enhanced Hourly Rate.

**KPI 5 – Service User Stability of Need**

* 1. KPI 5 shall, if implemented in accordance with paragraph 3.3 above, measure each Service User’s progress over each year of the Agreement Period commencing on the first anniversary following the relevant implementation date.
  2. The Authority shall use the Service User’s score from the Authority’s initial Resource Allocation System (RAS) as the baseline and the Service User’s score at the relevant annual assessment date to identify a change in need. The Authority shall monitor the scores to determine if each Service User is maintaining a consistent score or showing improvement.
  3. The Authority shall set and communicate to the Provider the level of compliance which the Provider must achieve in order to become eligible to receive the Enhanced Hourly Rate at the time notice is given in accordance with paragraph 3.3 above.

**KPI 6 – Service User Wellbeing**

* 1. KPI 6 shall, if implemented in accordance with paragraph 3.3 above, measure each Service User’s perception of the Services being delivered and the Provider’s delivery of the same over each year of the Agreement Period, commencing on the first anniversary following the relevant implementation date.
  2. Each Service User shall complete a Personal Outcomes Evaluation Tool (POET) assessment at the point at which the Service User’s Care Manager assists them to complete the My Needs Assessment.
  3. Each Service User shall then complete a POET assessment annually.
  4. At each Service User’s annual assessment the Authority shall use the indicators on the Service User’s previous POET to determine if the Service User’s perception of their wellbeing over the preceding year has:
     1. Maintained;
     2. Improved (need has reduced); or
     3. Deteriorated (need has increased),

PROVIDED always that the Authority shall take into account the complex needs and behaviour of the Service User when making its determination and the Authority’s determination, which shall be made using reasonable skill and care, shall be made at its absolute discretion and be final.

* 1. The Authority shall set and communicate to the Provider the level of compliance which the Provider must achieve in order to become eligible to receive the Enhanced Hourly Rate at the time notice is given in accordance with paragraph 3.3 above.