



Appendix 2a

Health and Social Care Partnership
Contract Management Group

21 March 2022



This Report relates to
Item 6 on the Agenda

Contract Monitoring Report: Care Homes and Care and Support at Home

Paper presented by Peggy Taylor

For Noting and Discussion

Approved for Submission by	Viv Gration, Deputy Head of Strategic Planning and Commissioning
Author	Peggy Taylor, Contracts Manager
Background Papers	1. Contract Monitoring Report: Third Sector 2. Contract Monitoring Report: Third Sector Appendix 1

	  Contract Monitoring Report_FINAL.docx Appendix 1 - Contract Monitoring F
Appendices	Appendix 2. Contract Monitoring Report

1. Introduction

- 1.1 'Light touch' contract monitoring recommenced in August 2021 for care home and care and support at home provider partners. This paper reports the findings of that monitoring.
- 1.2 Development work and stakeholder engagement has been underway to inform future contract monitoring practices and to establish a new contract monitoring framework that reflects new structures and meets the needs of the Partnership. This paper gives an overview of progress made to date, ongoing development work and next steps.

2. Recommendations

2.1 Contract Management Group is asked to

- **Note** the outcome of recent contract monitoring of care home and care and support at home commissioned services
- **Discuss** issues raised from recent contract monitoring and suggested actions
- **Note** the ongoing engagement work to inform future contract monitoring
- **Approve** that the results of recent contract monitoring are presented to the Health and Social Care Governance and Performance Group

3. Background

- 3.1 Contract monitoring of adult social care services commissioned on behalf of the Health and Social Care Partnership was paused in April 2020 as a result of the COVID-19 pandemic.
- 3.2 'Light touch' monitoring of care home and care and support at home commissioned services commenced in August 2021 covering the period 1 August 2020 to 31 July 2021. This included 30 care home and 31 care and support at home provider partner contracts. 28 of the care home provider partner contracts are National Care Home Contracts (NCHC) and 2 are on the National Care Homes for Adults with Learning Disabilities and Autism (CHALD) Framework. 28 care and support at home provider contracts are National Flexible Framework for Care and Support at Home contracts, 2 are SDS Option 2 provider partners and 1 is a care and support at home provider on a block contract.

- 3.3 A total of 31 care home provider partners were in scope for contract monitoring however one was excluded from the exercise due to transfer of ownership to Dumfries and Galloway Council.
- 3.4 Provider partners were advised that this light touch monitoring is part of a phased approach to resuming a full process of contract monitoring and if they anticipated that there will be challenges for them completing this at this time, they should discuss this with the Contracts Manager in the first instance.
- 3.5 To date self assessments have been received from 30 (out of 30) care homes and 30 (out of 31) care and support at home services. The one provider partner with an outstanding care and support at home self assessment has been contacted and support offered to aid completion.
- 3.6 Risk analysis has been completed for the 30 care home self assessments received and for the 29 care and support at home self assessments received.
- 3.7 Appendix 2 is an overview of the contract monitoring process and the results.
- 3.8 The following tables give a summary of the findings from the responses so far.

Care Homes

Compliance	<p>For the 30 provider partners who have completed the SAQ:</p> <ul style="list-style-type: none"> • 60% of 6 monthly reviews for service users are up to date • 30% of service user personal outcomes have been met • 76.7% have undertaken engagement/satisfaction surveys or gathered feedback • 23.3% reported an increase in the number of incidents and accidents compared to periods prior to COVID-19 • 73.3% reported that Adult Support and Protection Training was up to date • 63.3% of staff supervisions are up to date • 66.7% reported mandatory training is up to date <p>Staffing shortages and management changes and COVID-19 have impacted some provider partners' ability to fulfil some contractual obligations, such as mandatory training, personal outcomes of service users and staff supervisions</p>
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<p>Risk Management</p>	<p>Risk scores resulting from this contract monitoring exercise show that on the information provided there were no significant risks associated with the majority of providers. There are 7 providers for whom moderate risks have been identified which these provider partners reported were due to COVID-19 related restrictions and pressures.</p> <table border="1" data-bbox="496 394 1220 703"> <thead> <tr> <th colspan="2">Risk Score Results</th> </tr> <tr> <td colspan="2">Note: the higher the risk score the lower the risk</td> </tr> <tr> <th>Risk score achieved</th> <th>Number of provider partners</th> </tr> </thead> <tbody> <tr> <td>100%</td> <td>0</td> </tr> <tr> <td>75 - 99%</td> <td>23</td> </tr> <tr> <td>50 – 74%</td> <td>7</td> </tr> <tr> <td>Below 49%</td> <td>0</td> </tr> <tr> <td></td> <td>30</td> </tr> </tbody> </table>	Risk Score Results		Note: the higher the risk score the lower the risk		Risk score achieved	Number of provider partners	100%	0	75 - 99%	23	50 – 74%	7	Below 49%	0		30
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<p>Intelligence</p>	<p>For provider partners who have completed the self assessment questionnaire:</p> <ul style="list-style-type: none"> • 36.7% reported being affected by staffing shortages • 60% have experienced management changes • 78.3% have not met all personal outcomes for people they support • 16.7% have concerns regarding capacity/vacancies • 33.3% reported mandatory training is not up to date <p>There are many examples of how resourceful and innovative provider partners have been during this period, particularly in the increased use of technology and digital engagement. Provider partners have expressed ongoing concerns regarding staffing and vacancies.</p>																

Care and Support at Home

<p>Compliance</p>	<p>For the provider partners who have completed the SAQ:</p> <ul style="list-style-type: none"> • 53.3% of 6 monthly reviews for service users are up to date • 30% of service user personal outcomes have been met • 76.7% have undertaken engagement/satisfaction surveys or gathered feedback • 20% reported an increase in the number of incidents and accidents compared to periods prior to COVID-19 • 73.3% reported that Adult Support and Protection Training was up to date • 63.3% of staff supervisions are up to date • 66.7% reported mandatory training is up to date <p>Staffing shortages and management changes and COVID-19 have impacted some provider partners' ability to fulfil some contractual obligations, such as mandatory training, personal outcomes of service users and staff supervisions</p>
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<p>Risk Management</p>	<p>Risk scores resulting from contract monitoring show that on the information provided there are no significant risks associated with the majority of providers. However, there are 13 providers for whom moderate risks have been identified which these providers reported were due to COVID-19 related restrictions and pressures.</p> <table border="1" data-bbox="497 394 1222 728"> <thead> <tr> <th colspan="2" data-bbox="497 394 1222 432"> Risk Score Results </th> </tr> <tr> <td colspan="2" data-bbox="497 432 1222 461"> Note: the higher the risk score the lower the risk </td> </tr> <tr> <th data-bbox="497 461 876 539"> Risk score achieved </th> <th data-bbox="876 461 1222 539"> Number of provider partners </th> </tr> </thead> <tbody> <tr> <td data-bbox="497 539 876 577"> 100% </td> <td data-bbox="876 539 1222 577"> 0 </td> </tr> <tr> <td data-bbox="497 577 876 616"> 75 - 99% </td> <td data-bbox="876 577 1222 616"> 15 </td> </tr> <tr> <td data-bbox="497 616 876 654"> 50 – 74% </td> <td data-bbox="876 616 1222 654"> 14 </td> </tr> <tr> <td data-bbox="497 654 876 692"> Below 49% </td> <td data-bbox="876 654 1222 692"> 0 </td> </tr> <tr> <td data-bbox="497 692 876 728"> </td> <td data-bbox="876 692 1222 728"> 29 </td> </tr> </tbody> </table>	Risk Score Results		Note: the higher the risk score the lower the risk		Risk score achieved	Number of provider partners	100%	0	75 - 99%	15	50 – 74%	14	Below 49%	0		29
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<p>Intelligence</p>	<p>For provider partners who have completed the CMR:</p> <ul style="list-style-type: none"> • 66.7% reported being affected by staffing shortages • 43.3% have experienced management changes • 70% have not met all personal outcomes for people they support • 56.7% have concerns regarding capacity to pick up and maintain packages of care • 33.3% reported mandatory training is not up to date <p>Provider partners also have expressed ongoing concerns regarding staffing and capacity and problems with staff recruitment. There are many examples of how resourceful and innovative provider partners have been during this period, particularly in the increased use of technology and digital engagement and new ways of delivering care and support.</p>																

3.9 Contract Monitoring Framework Development

3.9.1 The last year has seen significant developments in the information that is available within the Partnership in relation to the provision of social care and support in Dumfries and Galloway. This, along with the structural developments across the Partnership provides an opportunity to review the approach to contract monitoring.

3.9.2 A new contract management framework is in development. This framework will describe the processes to enable the collection and analysis of contractual, financial, operational and performance information to deliver robust contract monitoring. This will include using data sourced from provider partner contract monitoring returns, people who access services and their families and Carers, Care Inspectorate Reports, Tactical Teams, Scotland Excel contract monitoring as well as management systems such as CM2000, TURAS and Mosaic.

- 3.9.3 The framework will also set out a reporting structure that includes six monthly reports to Contract Management Group, Governance and Performance Group.

3.10 Work completed

- 3.10.1 Extensive review of all national framework contracts; identifying contractual roles and responsibilities of all stakeholders to inform future contract monitoring and avoid duplication
- 3.10.2 Identification of information currently collected across the Partnership
- 3.10.3 Development of an action plan which includes proposed timelines for implementation of new contract monitoring framework including establishment of formal reporting structures
- 3.10.4 Development of Communication and Engagement Plan
- 3.10.5 Conducted 'light touch' contract monitoring of third sector commissioned services as well as care home and care and support at home.
- 3.10.6 Collaboration with Scotland Excel to develop draft contract monitoring return to reflect new National Flexible Framework for care and support at home. This has been piloted with a small group of care at home provider partners and is under review by Scotland Excel.
- 3.10.7 Engagement sessions have been held with the following stakeholders
- Care Inspectorate
 - Social Work Locality Teams (DGC) – A&E, Nithsdale, Stewartry, Wigtownshire – 4 individual meetings held
 - Procurement – DGC and NHS
 - Performance and Intelligence Team
 - Scotland Excel
 - Scottish Care
 - Sustainability and Modernisation Programme Team (SAM)
 - Housing Support Contract Coordinators
 - Care Home Tactical Team (CHTT)
 - Care and Support at Home Tactical Team (CASHTT)
 - MASH Team
 - Finance Team
- 3.10.8 Provider Partners – an online survey was sent to provider partners to invite them to share their views and suggestions on contract monitoring to help shape the process going forward. This engagement was conducted via online survey as provider partners were asked how they would prefer to share their views and the majority suggested online survey as the preferred method. The results of the survey have been collated and reviewed to identify feedback to help inform future contract monitoring.

3.10.9 In addition to the engagement sessions above, the Contracts Manager has attended meetings of the HSCGPG, Community Health and Social Care Leadership Group and Care Home Tactical Group in order to share information regarding contract monitoring development work and our collaborative approach.

3.10.10 Subsequent to engagement sessions and meetings, communication has been ongoing with these stakeholders to share information and provide contractual advice and support. This has included in-depth follow up meetings with procurement colleagues in order to develop a clear understanding of our respective roles in regard to contract management and with the Care Home Tactical Team in order to explore potential areas for joint working, identify any duplication and reduce burden on provider partners.

3.10.11 The Contracts Manager now attends regular meetings of the Care Home Tactical Group and the Care and Support at Home Project Group.

3.10.12 At the joint meeting of CHOG and CASHOG on 19 November 2021, the joint working approach between the Contracts Team and CHTT was shared, noted and approved. This work is ongoing and a joint Assurance and Contract Monitoring RAG spreadsheet is currently under development. A joint Assurance and Contract Monitoring visit template has been developed in consultation with a representative group of provider partners and a pilot joint visit with a care home is scheduled for 31 March 2022.

3.11 Next steps

3.11.1 Develop a high level contract monitoring framework which takes into consideration information gathered from engagement sessions and ongoing work with stakeholders to ensure a collaborative approach. The framework will set out the information and data collection required to fulfil three key purposes of contract monitoring

- Compliance – to provide assurance to the Partnership that commissioned services are delivered in line with contractual requirements, that they provide best value and that the Partnership is also meeting its contractual obligations
- Risk Management – to support the management of risks that may impact on the provider partner's ability to deliver care and support to the required quality standards.
- Intelligence – to provide a picture of market intelligence that supports the development of commissioning strategies, performance reporting and service improvement

3.11.2 Develop a balanced scored report format to bring together contractual, financial, operational and performance information which will be gathered

from across the Partnership and analysed in the form of six monthly reports to CMG and HSCGPG.

3.11.3 Key to the development of a robust contract management framework is ensuring it

- Aligns with new care assurance structures and processes such as the Partnership Oversight Groups
- Contributes to the monitoring of service delivery standards, currently being developed by operational colleagues, in relation to care and support at home
- Includes regular reporting upwards through relevant governance structures
- Includes escalation processes and intelligence sharing protocols

4. Conclusions

- 4.1 Preliminary results from recent 'light touch' contract monitoring of care home and care and support at home provider partners has helped identify risks and challenges facing partners and the impact this has had on their ability to meet all contractual obligations.
- 4.2 Work is underway to establish a contract monitoring framework that will build on existing good practice and stakeholder engagement and will establish regular robust reporting and compliment work of the Partnership Oversight Groups and The Care Inspectorate. This new approach will ensure that contract monitoring meets the needs of the Partnership in terms of compliance, risk management and intelligence.
- 4.3 It is proposed that the new contract management framework will be presented to CMG and HSCGPG in April 2022 and pending approval, contract monitoring based on the new framework will recommence in early summer 2022.