



**social workers
in schools**

CONTRACT MANAGEMENT PROTOCOLS

***PILOT MONITORING GUIDELINES
November 2008***



**child, youth
and family**

A service of the Ministry of Social Development

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Section 1: Overview

Purpose of Contract Management monitoring

The purpose of this process in the Social Workers in Schools (SWiS) service is to:

- monitor the implementation of the SWiS service to assess whether or not the service is proceeding as detailed in the contract
- facilitate Contract Management
- provide an opportunity to develop and implement a plan of action for any issues raised during the monitoring process
- gather details from service delivery to inform SWiS service and resource development
- ensure there are “no surprises” at the end of the contract period

Documents

The documents which support the monitoring process are:

- Funding and Contracting Guidelines
- Ministry of Social Development Child, Youth and Family contract with the service provider
- Social Workers in Schools Service Description

Funding and Contracting Guidelines:

These have recently been updated (June 2008). They are available on CYF intranet. http://cyfintranet/reddot/5361_ENG_HTML.htm

Contract:

The contract includes:

Schedule 1	Relationship between the Parties
Schedule 2	Service Description
Schedule 3	Reporting Requirements
Schedule 4	Payments
Schedule 5	Standard Terms

Social Workers in Schools Service Description:

The service description provides the framework for the Social Worker in Schools service and details the service required by the contracted provider. The roles and responsibilities of the four key parties (Child, Youth, and Family, the schools in the cluster, the Ministry of Education and the service provider) are identified.

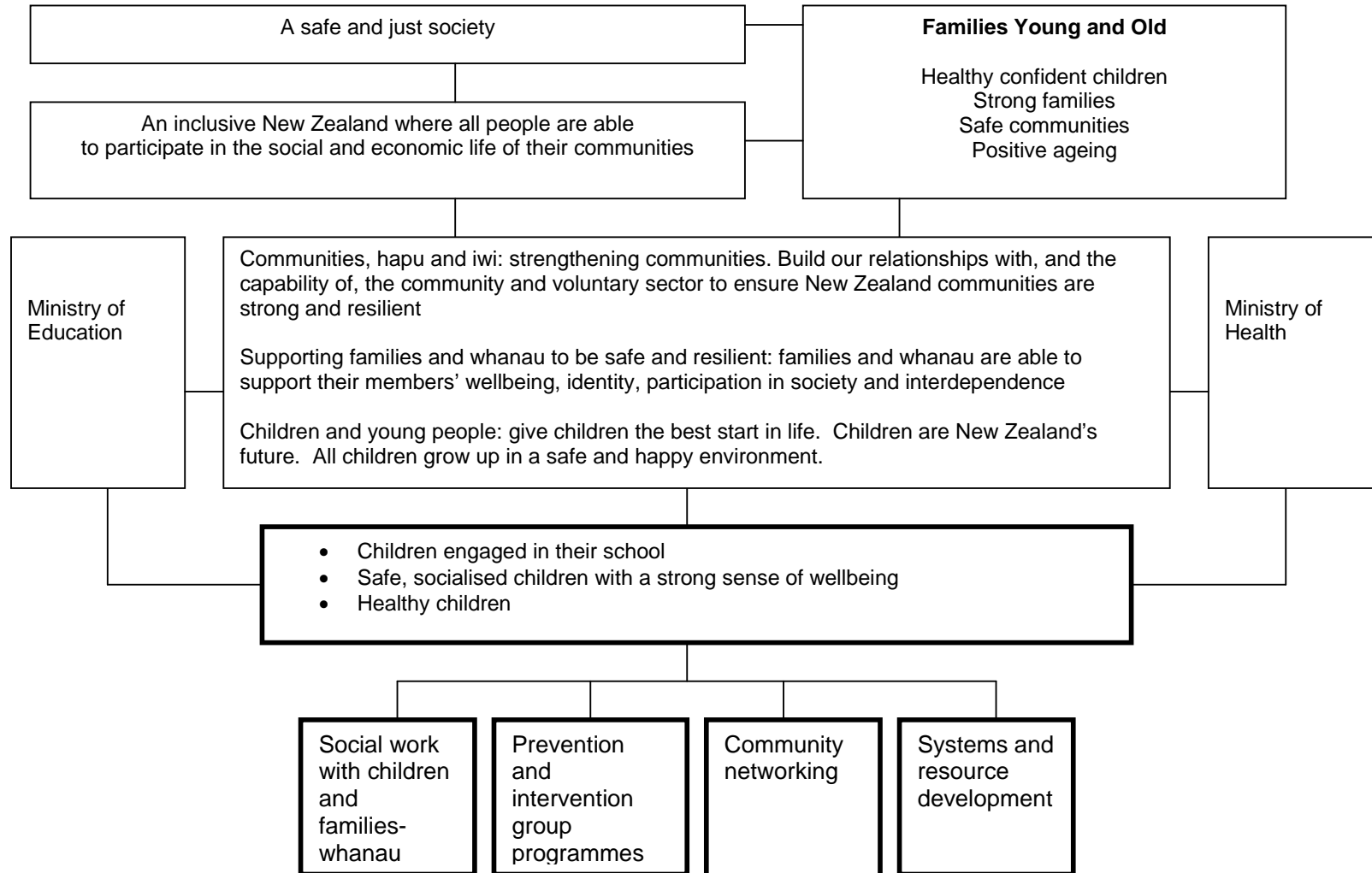
Contents of the Service Description are:

Section 1	Framework
Section 2	Service required
Section 3	Parties – roles and responsibilities
Section 4	Social Worker role

Outcomes framework

The SWiS service contributes to the New Zealand government outcomes framework. The four components of the SWiS service are identified in the boxes along the base of the chart on the following page

Outcomes framework with SWiS service components



What is being monitored?

The service provided in each cluster is monitored on an on-going basis. This includes the top three service components detailed in the table below; the quantity of services produced; financial management; the cluster function; cluster trends; gaps in service provision; and issues arising during service provision.

Service component	Monitoring
Social work with children and families-whanau	Quantity of services produced
	Financial management
	Analysis of cluster function and relationships
Prevention and intervention group programmes	Quantity of services produced
	Financial management
	Details of Group Programmes
Community support and networking	Quantity of community resources utilised
	Quantity of referrals to Child, Youth and Family
Systems and resource development	Review of service outputs
	Review of social worker activity
	Analysis of database records and management
	Analysis of service (trends, gaps, issues)

The reporting process for service monitoring is detailed in Section 2 (service provider) and Section 3 (Child, Youth and Family) of this document.

Each report is explained using three headings: purpose of the report; process of the report; and format of the report.

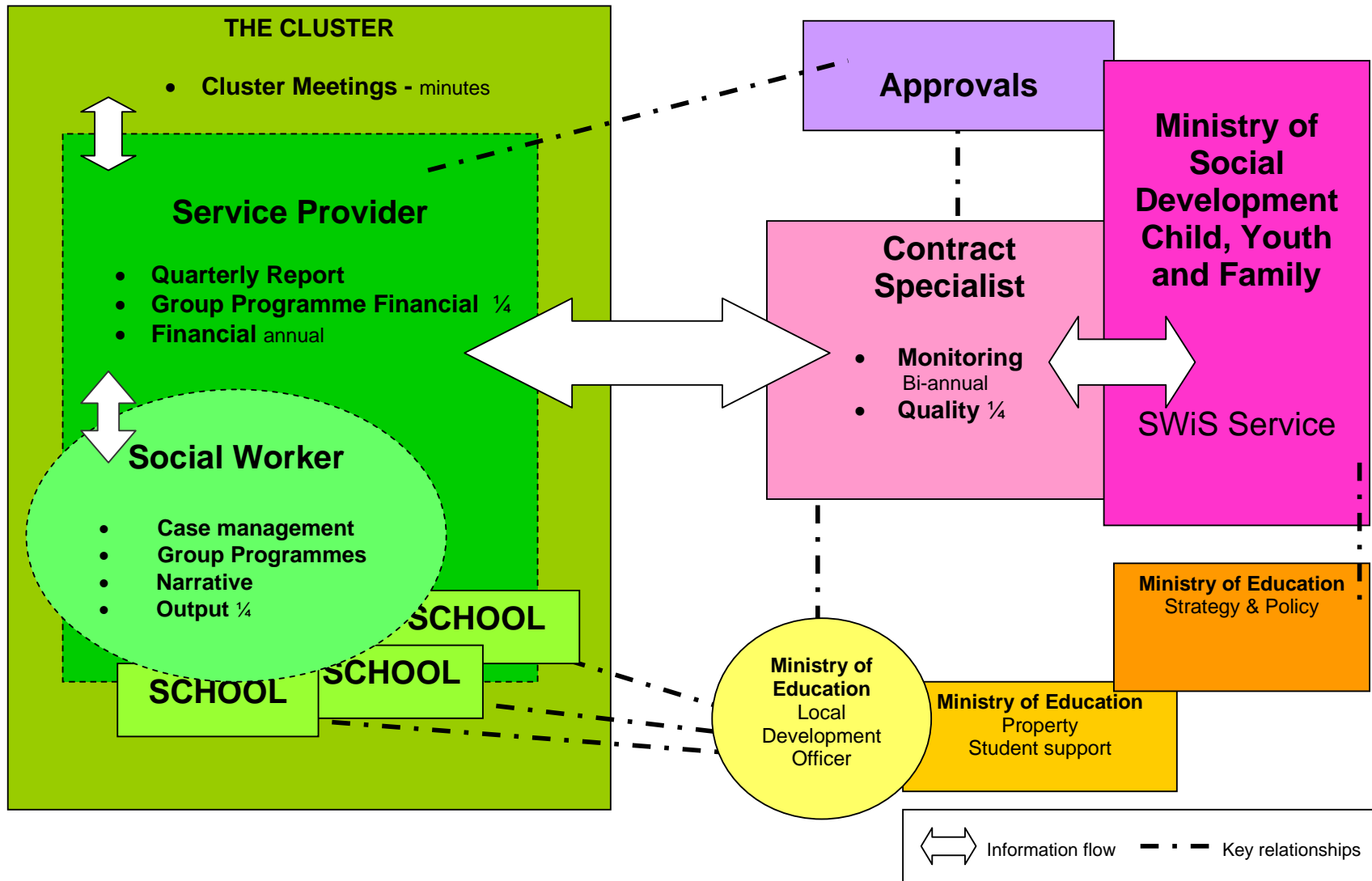
Who will monitor the service?

- Service Provider with a SWiS contract
- Child, Youth and Family contract specialists
- National office SWiS advisors (contract management, social work professional development, team leader)

The Approvals team may use the monitoring information for the Approval assessment.

The relationship and information flow between these parties is identified in the diagram on the following page.

Social Workers in Schools service: key relationships and information flow



When will the monitoring and reporting be done?

- Service provider will:
 - monitor the service throughout the period of the contract;
 - provide a quarterly Report for each cluster to Child, Youth and Family for all aspects of service delivery within 10 days of the end of the quarter; except for the
 - audited financial statements which will be forwarded with the quarterly Report when it becomes available.

- Child, Youth and Family will:
 - monitor the service throughout the period of the contract; and
 - carry out monitoring visits with the service provider twice a year.

What happens with the monitoring reports?

- Child, Youth and Family will activate the Contract Management System for a service provider quarterly payment on receipt of a quarterly Report which demonstrates that the service meets contract specifications.

- Information and data will be analysed by Child, Youth and Family to:
 - modify the SWiS service delivery as appropriate; and
 - inform systems and resource development.

Section 2: Service provider contract requirements

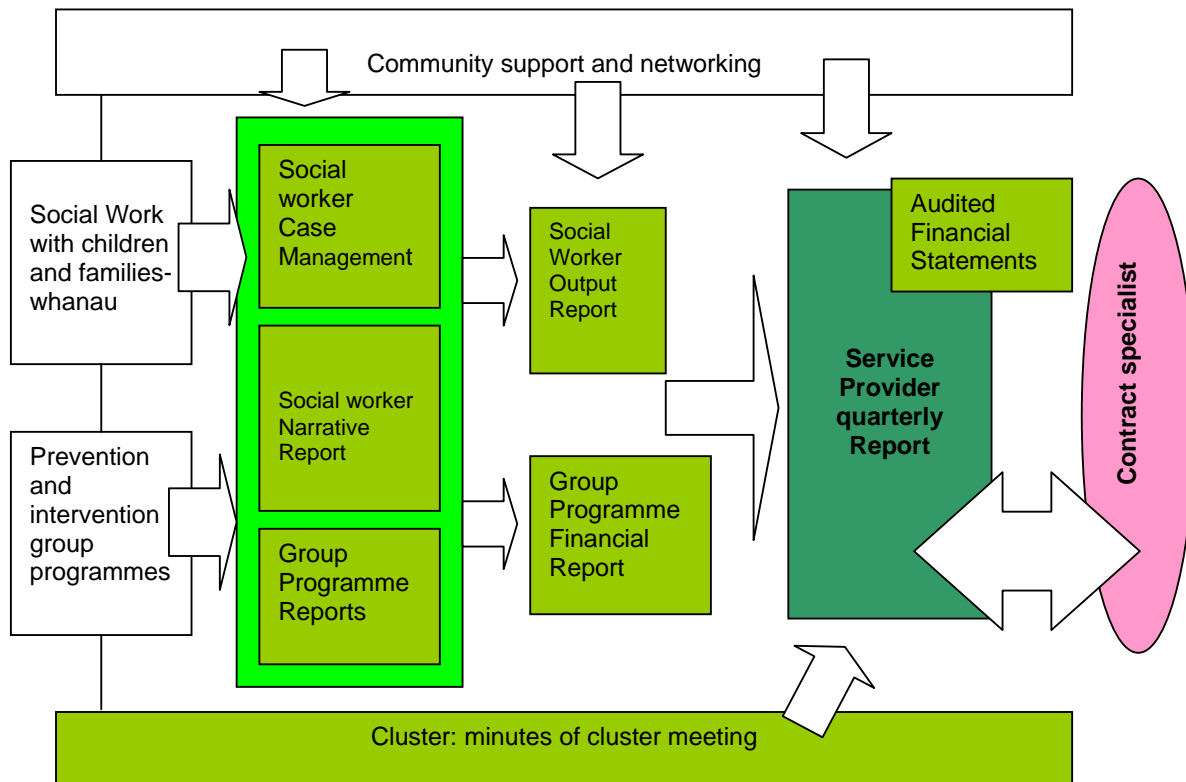
The following reports are a requirement of the SWiS service. The reports in this section are to be completed by the service provider during the period of the contract.

The reports are

- Social Worker case management
- Social Worker narrative
- Social Worker quarterly Output Report
- Group Programmes
- Group Programme financial statement
- Cluster meeting minutes
- Service Provider quarterly Report
- Service Provider annual financial Statement

Information flow

Information flow in each SWiS cluster



Social Worker case management

Purpose of the report

- The social worker records all information about the case management of each child referred to the service. Children are identified by a number, they remain anonymous, and all information is securely stored.
- The case management of each child is detailed and updated by the social worker as the child participates in the service.
- This information supports caseload management and is available for review; for example during supervision sessions and in meetings with employer.

Process of case management using “SWiS database”

- Social worker and service provider trained in the use of case management tool (“SWiS database”).
- Social worker records and details all aspects of case management in the “SWiS Database”.
- Service provider responsible for ensuring the case management component of the “SWiS Database” is backed up regularly (monthly is recommended).
- If the social worker is unable to access the “SWiS database” they may, in agreement with the contract specialist and their employer, utilise an alternative method of case management which meets contract requirements.

Format of the report

- The social worker follows the format as presented in the “SWiS database”.

Social Worker narrative report

Purpose of report

- This report provides an opportunity for the social worker to regularly review their work; to record the highlights of their work; to identify issues to discuss with their supervisor and employer (service provider); and it contributes to the social worker's professional development.
- The service provider summarises and collates this information for the quarterly Report.

Process of report

- The report is prepared by the social worker and recorded in a section of the "SWiS database".
- When the system is "backed up" by the social worker this report is available to the service provider.
- If the social worker is unable to back-up the report in the "SWiS database" this report may be written and saved electronically.

Format of report

Headings to be used in social worker reports

- Key social work issues (practice)
- Supervision
- Training and professional development
- Constraints to service provision
- Trends in the cluster
- Highlights – special projects

Length of report

Maximum of 5,100 characters; this is approximately 1,000 words.

Social Worker quarterly Output Report

Purpose of report

- This report provides specific details about the caseload of a social worker in each school of a cluster during three months.
- The report includes information about Group Programmes including:
 - the number of Group Programmes and
 - the total numbers of children and adults participating in Group Programmes
- This on-going data collection and review of caseload management assists the social worker, their employer, and their supervisor to plan the social work activities to ensure the best outcome for each child and their family.
- This quarterly review by the social worker, their supervisor and service provider reflects on referrals, notifications, workload, Group Programmes, and community involvement in SWiS service.
- This information is summarised and collated by the service provider into the quarterly Report for Child, Youth and Family for Contract Management and to inform SWiS systems and resource development.

Process of report

- The social worker maintains an up-to-date record of children referred to and participating in the service. This can be done in their planning work book and/or their computer records.
- The data in the Output Report collates with the data available in the SWiS reporting portal "Snapshot Summary Report". The social worker can access this report to complete their Output Report.
- This data is entered quarterly into the Output Summary and discussed with the service provider.
- If there is only 1 Social Worker in the cluster this data can be transferred directly into the service provider quarterly report.

Format of report

- This is presented on the following page.

Social Worker Quarterly Output Summary					
Name of social worker					
	Outputs				
	1/4	2/4	3/4	4/4	pa
Social work with children and their families /whanau					
School [XXXXX]					
# children referred to social work service – example	5	10	6	7	28
# children referred to social work service					
# children's cases closed at initial referral					
# children's cases active at the end of the quarter					
# children's cases closed after social work during that quarter					
School [XXXXX]					
# children referred to social work service					
# children's cases closed at initial referral					
# children's cases active at the end of the quarter					
# children's cases closed after social work during that quarter					
School [XXXXX]					
# children referred to social work service					
# children's cases closed at initial referral					
# children's cases active at the end of the quarter					
# children's cases closed after social work during that quarter					
Prevention and intervention group programmes					
# group programmes for children					
# total attendances at children's group programmes					
# group programmes for adults					
# total attendances at adult family/whanau programmes					
# group programmes for adults & children together					
# total attendances at combined adults & children programmes					
Community networking					
# local NGOs and community services associated with SWiS					
# referrals to Child, Youth and Family (notifications)					
# referrals to iwi/Maori agencies					
# referrals to other community services					
Key: # - number of ...					
Note: the school section can be modified according to the number of schools covered by the social worker					

Group Programme Report

Purpose of report

- Each report records the details of each Group Programme implemented in a cluster.
- Analysis of these reports provides information about Group Programmes
 - for sharing amongst all SWiS providers
 - to inform SWiS systems and resource development
 - for Contract Management

Process of report

- The social worker completes a report for each Group Programme. If the group programme is contracted out, the social worker will discuss the programme with the contractor and enter the details into the “SWiS database”.
- The report is entered into the “SWiS database”. When the system is “backed-up” this report is available to the service provider.
- The funding allocation for each Group Programme is detailed in the Group Programme Financial Report.
- If the social worker is unable to access the “SWiS database” they may, in agreement with the contract specialist and their employer, utilise an alternative method of group programme reporting. A template is available for this report.

Format of report

- The headings are in Group Programme section of the “SWiS Database”.

Group Programme Financial Report

Purpose of report

- This report provides an on-going financial analysis of the Group Programme budget for each cluster.
- The information is available to all parties in the cluster for planning, implementing, and reviewing the Group Programmes.
- This report informs Child, Youth and Family Contract Management and SWiS systems and resource development.

Process of report

- The financial report is prepared by the service provider.
- Expenses, including human and physical resource inputs and travel costs, for each Group Programme are included in the financial statement. The time of a social worker is not included if that social worker is already employed to work in that cluster.
- One report is maintained during a fiscal year; it is updated quarterly; and attached to the quarterly Report

Format of report

- As per excel spread sheet on the following page.

Template for Group Programme Financial Report

SWiS Group Programmes Financial Report				
Provider name				
Allocation \$7,400.00 ex GST				
Cluster schools				
Programme details	Expense	Date	Cost	Total
Self Esteem	Travel	20/05/2008	\$150.00	
18 Students	Confidence climbing	20/05/2008	\$180.00	
	Mystery Maze	20/05/2008	\$90.00	
	Food	20/05/2008	\$200.00	
				\$620.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
Grand Total				\$620.00
	7,400.00			\$6,780.00

Cluster meeting minutes

Purpose of minutes

- The minutes provide a review of SWiS service delivery in each cluster.
- The minutes recognize issues within a cluster which are successful and can be shared with other clusters for the benefit of children participating in the service and also areas of the service may need follow-up to improve service delivery.
- The minutes, as part of the Service Provider quarterly Report, inform Child, Youth and Family Contract Management and SWiS systems and resource development.

Process

- The service provider organises the quarterly cluster meeting at time agreed by all parties.
- A review of Partnering Agreement forms the basis for the agenda of the meeting.
- A person selected to record minutes of the meeting, to write them up, and to forward them to all parties within 10 days of meeting
- The service provider responsible for storing the minutes of each meeting.
- The minutes of each cluster meeting are attached to service provider quarterly Report

Format of minutes

The cluster meeting will review **some or all** of the following headings in the Partnering Agreement and any other agenda items as agreed by the meeting participants.

1. Our Mission Statement
2. Our Values
3. Operational Structure
4. Referrals to Child, Youth and Family
5. Social Workers in Schools Assets
6. Social Workers in Schools Service Support
7. School and Service Provider Contacts
8. Social Worker Availability
9. Service Planning
10. Prevention and Intervention Group Programmes
11. Resolving Differences
12. Review of issues for Output Report
13. Review of the Partnering Agreement
14. Date: next cluster meeting

Service Provider Quarterly Report

Purpose of report

- To monitor the implementation of the SWiS service in the cluster
- Review SWiS service components
 - Social work with children and families/whanau
 - Prevention and intervention group programmes
 - Community networking
- Overview and analysis of social trends in the cluster, specific needs, and service provision
- Social worker input as report includes highlights of social worker experiences and statistical details
- Inform SWiS systems and resource development
- Completed report is a component of the Contract Management requirements

Process of report

- One report completed for each cluster on a quarterly basis. These quarterly periods are identified in the template as 1/4, 2/4, 3/4 and 4/4.
- One report is used for a fiscal year
- Dates for the report [insert date], [insert date], [insert date], [insert date]
- Data about the number of participants in the SWiS services including Group Programmes, Child, Youth and Family notifications, and the use of community services is recorded by each social worker; and collated by the service provider.
- The service provider completes the narrative section of the report which includes feedback from the cluster parties and a summary of the highlights from the social worker's report
- Cluster meeting minutes are attached to each quarterly Report.
- The Group Programme financial statement is attached to the quarterly report
- The audited annual financial statements are attached to the report once they become available

Format of report

- Detailed on the following 2 pages

Service Provider Quarterly Report

Service Provider	New Lynn Community Development Trust
Schools in the cluster	Main Street Primary, College Hill Primary, St Josephs Intermediate
Social Workers in the cluster	Penny Brown; Michael Green
Person completing report 1/4 and date	Jane Smith 15 August 2008
Person completing report 2/4 and date	
Person completing report 3/3 and date	
Person completing report 4/4 and date	

Output Summary

	Outputs				
	1/4	2/4	3/4	4/4	pa
Social work with children and their families /whanau					
# children referred to social work service (example)	5	10	6	7	28
# children referred to social work service					
# children's cases closed at initial referral					
# children's cases active at the end of the quarter					
# children's cases closed after social work during that quarter					
Prevention and intervention group programmes					
# group programmes for children					
# total attendances at children's group programmes					
# group programmes for adults					
# total attendances at adult family/whanau programmes					
# group programmes for adults & children together					
# total attendances at combined adults & children programmes					
Community networking					
# local NGOs and community services associated with the SWiS service					
# referrals to Child, Youth and Family (notifications)					
# referrals to iwi/Maori agencies					
# referrals to other community services					
Key: # - number of					

Narrative overview of cluster Maximum of 5 lines for each box

Trends in social issues in schools and community

1/4

2/4

3/4

4/4

Gaps in service provision

1/4

2/4

3/4

4/4

Partnering Agreement cluster meetings

1/4

2/4

3/4

4/4

School issues					
1/4					
2/4					
3/4					
4/4					
Community networking and use of community services					
1/4					
2/4					
3/4					
4/4					
Group Programmes					
1/4					
2/4					
3/4					
4/4					
Social Worker highlights					
1/4					
2/4					
3/4					
4/4					
Documents attached					
	1/4	2/4	3/4	4/4	pa
Group programme financial statement	1	1	1	1	4
Cluster meeting minutes	1	1	1	1	4
Audited Financial Statements	when available				1

Please send completed report and attached documents to
XXXXXXXXXXXXX, Contract Specialist, email address

Receipt of this report will be acknowledged by the Contract Specialist
within 10 days.

Audited Financial Statements

Purpose of report

- Provide an audited financial statement of SWiS service implemented in the cluster during a fiscal year of the contract
- Financial accountability
- Inform SWiS systems and resource development

Process of report

- Financial statement is prepared by service provider
- It is required to be audited by a Chartered Accountant
- This statement includes the funds allocated to Group Programmes
- Financial report is attached to the quarterly Report when available

Format of report

- As prepared by the service provider

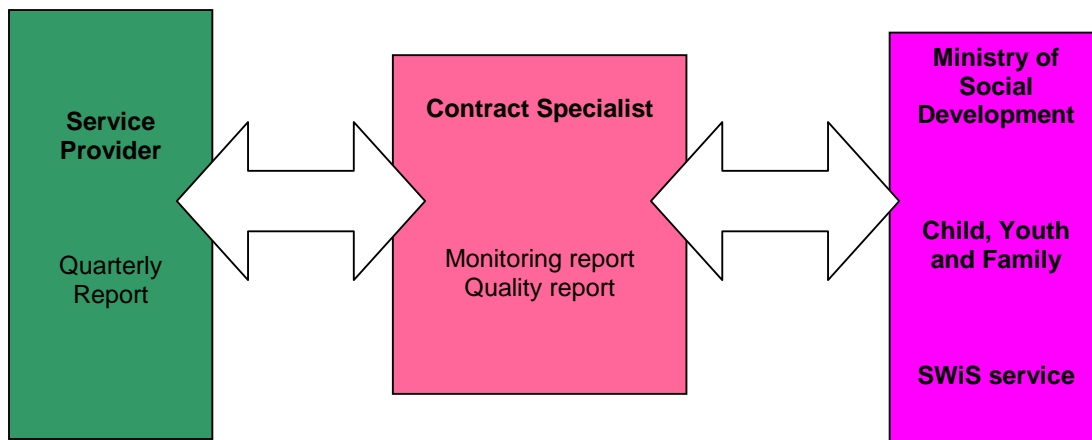
Section 3: Child, Youth & Family contract management

The reports in this section will be completed by the contract specialist on a regular basis during the period of a service provider's contract.

The reports are

- Contract monitoring report
- Quality report

Information flow



Contract Specialist contract monitoring report

Purpose of report

- Visit the service provider
- Monitor the implementation of the SWiS service to assess whether or not the service is proceeding as detailed in the contract
- Analysis of monitoring, along with analysis of service provider quarterly Report reports, facilitates Contract Management
- Provide an opportunity to develop and implement a plan of action for any issues raised during the monitoring process
- Gather details from service delivery to inform SWiS service and resource development (this may include details of exceptional performance in service delivery which can be shared with other SWiS providers).
- Ensure there are “no surprises” throughout the contract period

Process of report

- Contract specialist discusses six-monthly monitoring visit with the service provider, explains the purpose of the visit, and arranges a satisfactory time to make the visit
- Contract specialist carries out monitoring visit and completes contract monitoring template
- Contract specialist reviews information gathered, discusses any issues which need addressing with relevant Child, Youth and Family colleagues and the service provider
- Contract specialist loads completed report into CMS
- Plan of action developed with the service provider if there are any areas of under-performance (this is explained in Section 4).

Format of report

- Contract monitoring template (on next 3 pages)

CONTRACT MONITORING [PROVIDER] [DATE] [CLUSTER] [CONTRACT SPECIALIST]

Comments: Please add any specific comments regarding the monitoring visit here.

No	Indicator	No	Source of Verification	Comments	[date]
1	Partnering Agreement completed and signed by all parties	1.1	Partnering Agreement completed		
		1.2	Partnering Agreement signed by all parties		
		1.3	Minutes from Cluster Meetings		
2	Provider recruited and employed social worker as detailed in contract	2.1	Recruitment documentation including CV of SW	Please discuss with Approvals before organising the visit with the provider 2.3 – if new SW employed and Approvals have not visited since the appointment	
		2.2	List of interview participants and their role		
		2.3	Check that Criminal Check completed		
		2.4	Employment contract of social worker		
		2.5	SW participated in orientation / induction programme		
		2.6	SW trained in use of database and has access to the database manual		
		2.7	SW familiar with and has access to SWiS Toolkit and is using this as a work resource		
		2.8	SW familiar with and has access to An Interagency Guide for Breaking the Cycle		
3	Provider meets standards of SW competence including notifications, supervision, training, and back-up for social worker as detailed in contract	3.1	SW records notifications and follow-up action	Please discuss with Approvals before organising the visit with the provider	
		3.2	Supervision contract with contracted supervisor		
		3.3	Supervision session documentation (1 per SW)		
		3.4	Training plan for each social worker		
		3.5	Evidence of attendance at training activity		
		3.6	Professional Development Plan for each social worker		
		3.7	Plan for social work absence – back-up process in place		
		3.8	Dates when a social worker was not employed this period		Write in dates when gaps in SW employment.

CONTRACT MONITORING [PROVIDER] [DATE] [CLUSTER] [CONTRACT SPECIALIST]

Comments: Please add any specific comments regarding the monitoring visit here.

No	Indicator	No	Source of Verification	Comments	[date]
4	Provider meets standards of reporting as detailed in contract	4.1	SW has functioning computer linked with internet		
		4.2	SW database backed-up monthly (administration reporting portal)		
		4.3	SW reports completed as per template headings		
		4.4	Provider quarterly Output Report - Dates 1 2 3 4		
		4.5	Financial report 1x p.a. (July)		
5	School meets standards of space, equipment, communication, referral system, and promotion of SWiS service	5.1	Designated office space safe, clean, private	Please discuss with Approvals before organising the visit with the provider	
		5.2	Designated office space has adequate furniture		
		5.3	SW has access to a direct telephone line		
		5.4	SW has access to administrative support including fax and photocopier		
		5.5	Referral system documented and functioning		
		5.6	# of new referrals in school per month documented		
		5.7	Information/promotion materials and methods eg website (list what is being used)		
6	Group intervention programmes implemented to standard as detailed in service description	6.1	Provider and SW have access to and familiar with toolkit resource Section 6 Reference Resources Guidelines and Resources for SWiS intervention and prevention group programmes	Please discuss with Approvals before organising the visit with the provider	
		6.2	Schools have access to and familiar with toolkit resource Section 6 Reference Resources Guidelines and Resources for SWiS intervention and prevention group programmes		

CONTRACT MONITORING [PROVIDER] [DATE] [CLUSTER] [CONTRACT SPECIALIST]

Comments: Please add any specific comments regarding the monitoring visit here.

No	Indicator	No	Source of Verification	Comments	[date]
		6.3	Group Programme plan listed		
		6.4	Each Group Programme documented in reporting template		
		6.5	Programme budget maintained on excel spreadsheet		
		6.6	Programme invoices retained in file		
7	Community, school, and cluster relationships	7.1	Service Provider describes current community networks the school/SWiS service is involved in		
		7.2	Service Provider describes current community resources being used as part of SWiS service		
		7.3	Service provider describes relationship with each school in the cluster		
		7.4	Service provider describes relationship amongst the cluster parties		

Sign off					
Team leader					
Contract Specialist					

Contract Specialist quarterly service provider analysis

Purpose of report

- Summary of SWiS service quality issues in each cluster
- Identify (flag) clusters where a plan of action has been developed to address under-performance
- Gather details from service delivery to inform SWiS service and resource development
- Ensure there are “no surprises” throughout the contract period

Process of report

- Complete the template each quarter once the quarterly Report has been received and/or there is other information to inform the report for example, after the bi-annual monitoring visit carried out
- Forward to SWiS advisor, national office
- Follow-up on any relevant issues raised in the report

Format of report

- Template (on next page)

Contract Specialist Quarterly Service Provider Analysis – SWiS

Quality Issues					
Contract Specialist					
Date of report					
Report covers period from	1 July 2008 – 30 September 2008 1 January 2009 – 31 March 2009		1 October 2008 – 31 December 2008 1 April 2009 – 30 June 2008.		
Service Provider & cluster	Any concerns about reporting?	Any concerns about delivery of social work service?	Are the relationships in the cluster functioning well?	Approval Issues	Any specific issues requiring close monitoring?
1 report per cluster					

Section 4: Action on issues raised in monitoring process

Addressing areas of under-performance

- If the quarterly reports and monitoring visits indicate areas of under-performance or of serious concern this is discussed with the contract specialist team leader and national office advisors.
- The contract specialist and the service provider then discuss the issue and agree on a plan of action to address the issue. If appropriate a school or the schools in the cluster should be included in this discussion and the development of the action plan. The service provider will document the process in a table (issue, plan, expected outcome and timeframe, and date of completion). Child, Youth and Family and the service provider will have copies of this document.
- A range of options is available for addressing continued under-performance if this plan of action does not have a satisfactory outcome. These options include:
 - Referral to Approvals for a special assessment;
 - A review of service conducted by Funding and Contracting (can include bringing in external assessors);
 - The withholding of the following payment until improvements have been made;
 - Recovery of payments made for undelivered service;
 - Suspension of contract; and
 - Termination of contract.

Resolving disputes

- Cluster disputes: These should be addressed using the processes as agreed in the development of the Partnering Agreement and detailed in the appendix of the Partnering Agreement.
- Disputes amongst other stakeholders: These should be addressed using the dispute resolution procedures of the organisations involved in the dispute.

Liaison with Approvals team

- If quarterly reports and visits indicate approval issues such as a significant lack of supervision, these should also be reported directly to the Approvals team via the appropriate Approvals team leader.

Section 5: Contract Management System (CMS) payments

Process and timeframe for payments

- Contract payments are made on a quarterly basis following receipt of the quarterly Report and a satisfactory monitoring visit if one of the twice yearly monitoring visits was during that quarter.
- The quarterly Report should be received 10 days after the completion of the quarter.
- The contract specialist acknowledges receipt of the Report by email within 10 days. In this email they will notify the service provider that they will, or will not, be receiving their next quarterly payment.
- If the contract specialists are satisfied with the service provided by the service provider the contract specialists can approve the next payment in the Contract Management System (CMS).
- Exceptions to this reporting process may be provided to service providers in exceptional circumstances. All exceptions should be noted in CMS when triggering the payments and a note for file, which indicates the reason for the exception.

Recovery of funds

- If a social worker is not employed for a specific period of the contract a pro-rata amount of the quarterly payment may be deducted from the payment following that period.
- The period without a social worker will be noted by the contract specialist during the monitoring visit to the service provider.
- Guidelines for the amount of funds to be recovered (FTE breakdown) are detailed in the contract.
- This process should be discussed with the service provider during the visits if it is apparent there was a period without a contracted social worker providing the SWiS service.