

Multi Agency Support Services in Secondary Schools

(MASSiSS)

**PILOT CONTRACT MANAGEMENT PROTOCOLS
MONITORING GUIDELINES**

2008



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Section 1: Overview

Purpose of Contract Management monitoring

The purpose of this process in the Multi Agency Support Service in Secondary Schools (MASSiSS) service is to:

- monitor the implementation of the MASSiSS 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 MASSiSS 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
- Multi Agency Support Service in Secondary Schools (MASSiSS) 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 |

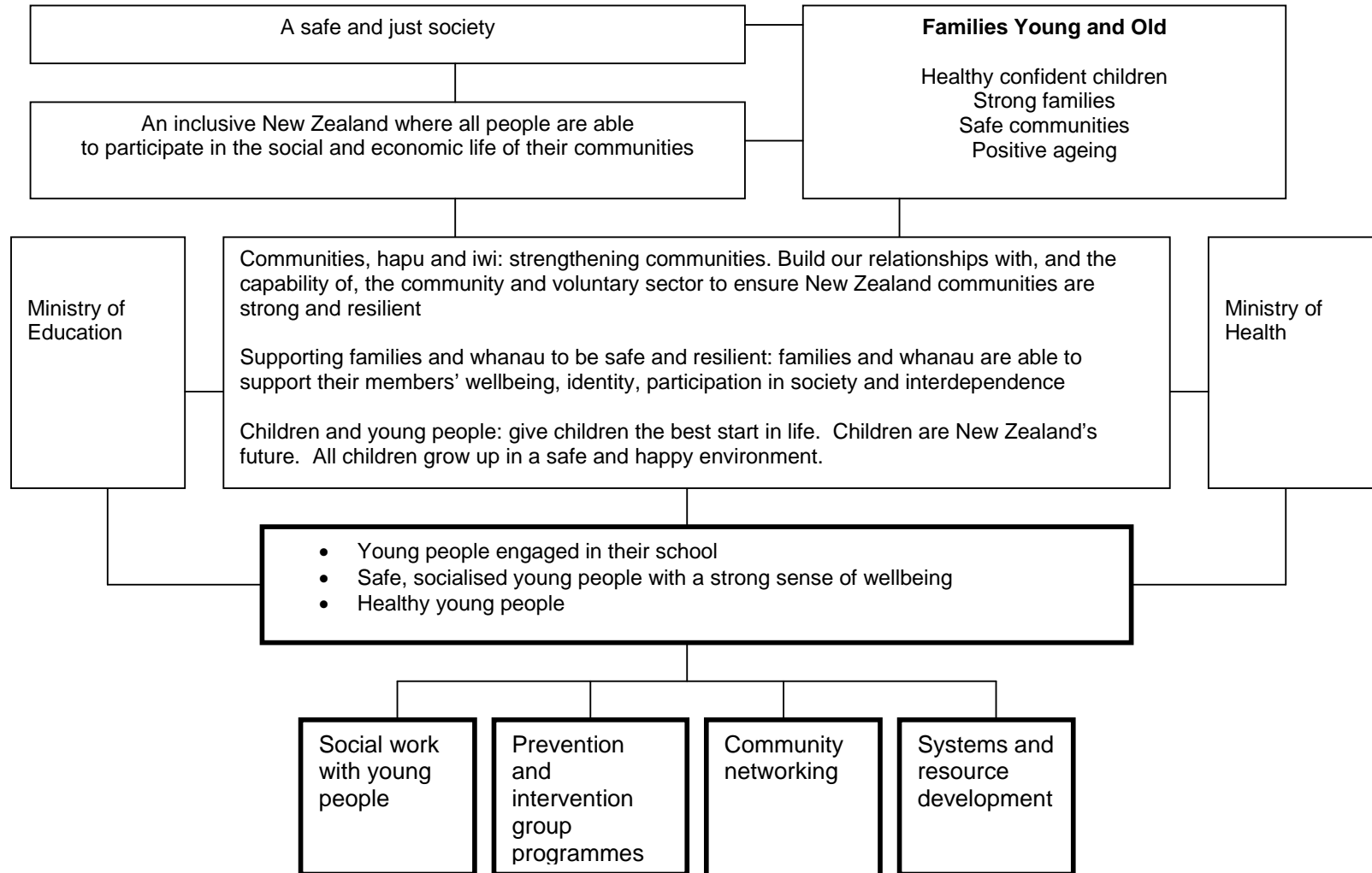
Multi Agency Support Service in Secondary Schools Service Description:

The service description provides the framework for the Multi Agency Support Service in Secondary Schools (MASSiSS) service and details the service required by the contracted provider. The roles and responsibilities of the three key parties (Child, Youth, and Family, as secondary school, and the service provider) are identified.

Outcomes framework

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

Outcomes framework with MASSiSS service components



What is being monitored?

The services provided in each school are monitored. This includes the top three service components detailed in the table below; the quantity of services produced; financial management; the service relationships; trends; gaps in service provision; and issues arising during service provision.

Service component	Monitoring
Social work with young people	Quantity of services produced
	Financial management
	Analysis of relationship social service centre
Prevention and intervention group programmes	Quantity of services produced
	Financial management
	Details of Group Programmes
Community 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.

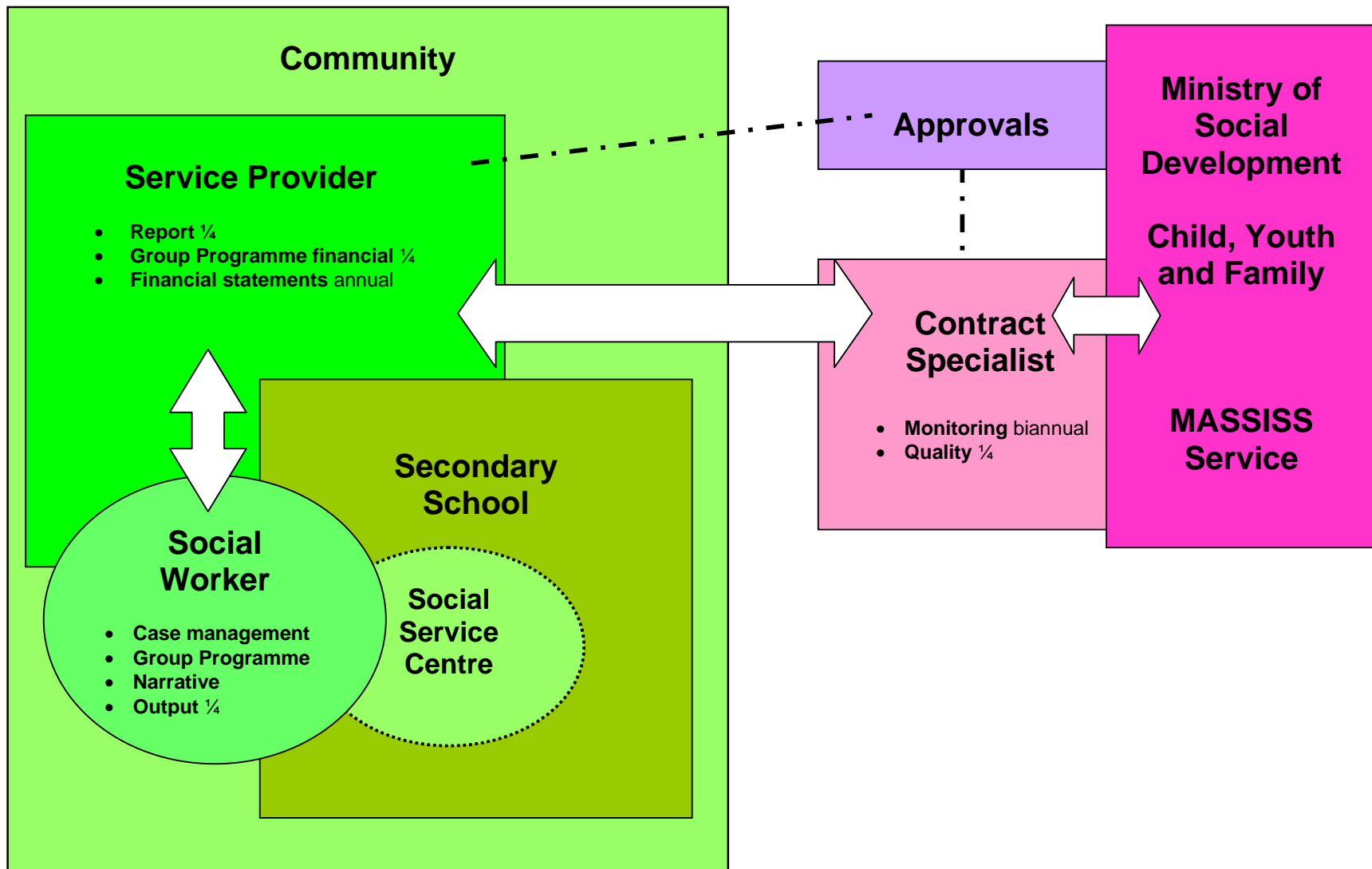
Who will monitor the service?

- Service Provider with a MASSiSS contract
- Child, Youth and Family contract specialists
- National office MASSiSS advisors

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

The report flow between these parties is identified in the diagram on the following page.

MASSiSS report flows



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 secondary school to Child, Youth and Family for all aspects of service delivery within 10 days of the end of the quarter; except for the
 - annual audited financial statement which will be forwarded with the quarterly Report once 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 yearly.

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 MASSiSS service delivery as appropriate; and
 - inform systems and resource development.

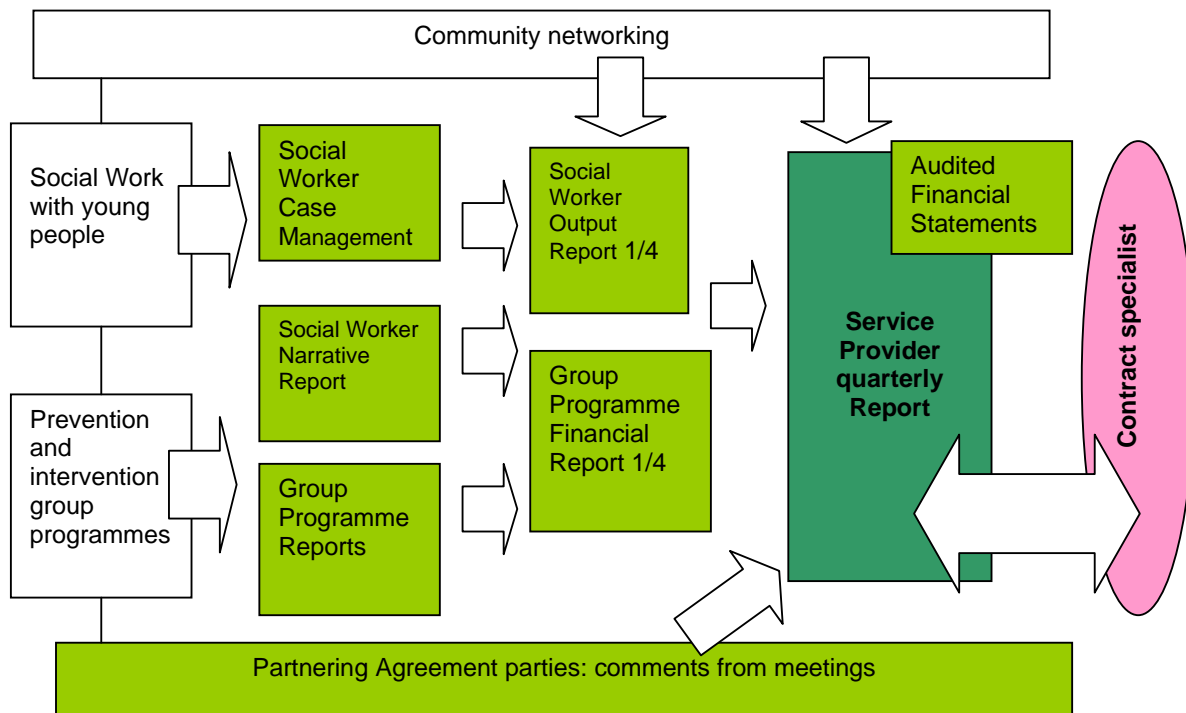
Section 2: Service provider contract requirements

The following reports are a requirement of the MASSiSS service. The reports in this section are to be completed throughout the period of the contract.

The reports are

- Social worker case management
- Social worker narrative report
- Social worker quarterly Output Report
- Group Programme Report
- Group Programme Financial Statement
- Service Provider quarterly Report
- Service Provider Audited Financial Statements

Information flow



Social worker case management

Purpose of the report

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

Process of the report

- Social worker and service provider trained in the use of the 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 review their work during the previous month; 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 each month and saved electronically.

Format of report

Headings to be used in all monthly reports

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

Social Worker quarterly Output Report

Purpose of report

- This report provides specific details about the caseload of each social worker during three months.
- The report includes information about Group Programmes including:
 - the number of Group Programmes and
 - the numbers of young people participating in Group Programmes
- This on-going data collection and review of caseload management assists the social worker and their supervisor to plan the social work activities to ensure the best outcome for each young person.
- This quarterly review by the social worker, their supervisor and service provider reflects on referrals, notifications, workload, Group Programmes, and community involvement in MASSiSS 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 MASSiSS systems and resource development.

Process of report

- The social worker maintains an up-to-date record of young people referred to and participating in the service. This can be done in their planning work book and/or their computer records.
- If the social worker is using the “SWiS database” the data in the Output Report will collate with the data available in the SWiS reporting portal “Snapshot Summary Report”. The social worker can access this report to complete their Output 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 young people					
# young people referred or self referred to social work service – example	5	10	6	7	28
# young people referred or self referred to social work service					
# young people social work cases closed at initial referral					
# young people's cases active at the end of the quarter					
# young people's cases closed after social work during that quarter					
Prevention and intervention group programmes					
# group programmes for young people					
# total attendances at group programmes					
Community networking					
# local NGOs and community services associated with MASSiSS					
# referrals to Child, Youth and Family (notifications)					
# referrals to iwi/Maori agencies					
# referrals to other community services					
Key: # - number of ...					

Group Programme Report

Purpose of report

- Each report records the details of each group programme implemented
- Analysis of these reports provides information about Group Programmes
 - for sharing amongst all MASSiSS providers
 - to inform MASSiSS systems and resource development
 - for Contract Management

Process of report

- The report is prepared by social worker, service provider, or other personnel responsible for each Group Programme
- One box report is completed for each Group Programme

Format of report

This template will be provided by Child, Youth and Family.

Name of Programme		Cost	
Date From – to		Number of participants	M F
Objective	What is the expected end result for the programme participants?		
Inputs	Include all physical and human resources required to run the programme		
Key activities	Include the number of sessions, time of sessions, the overall timeframe of the programme, and the key activities of the programme including the evaluation of the group programme		
Outcome	What was the result of the programme? What did the participants say about the programme and what changes did they make as result of participating in the programme?		

Group Programme Financial Report

Purpose of report

- This report provides an on-going financial analysis of Group Programmes implemented in the school.
- The information is available to all parties involved in MASSiSS service provision for planning, implementing, and reviewing Group Programmes.
- This report informs Child, Youth and Family Contract Management and MASSiSS systems and resource development

Process of report

- The financial report is prepared by service provider.
- Expenses for each Group Programme are included in the financial statement.
- One report is maintained during a fiscal year; it is updated quarterly; and attached to the quarterly Report.

Format of report

- As per spread sheet on the following page. This template will be provided by Child, Youth and Family.

MASSiSS Group Programmes Financial Report				
Provider name:				
Name of school:				
Programme details	Expense	Date	Cost	Total
Self Esteem 18 Students	Travel	20/05/2008	\$150.00	
	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
Balance remaining (from \$10,500)				\$9,880.00

Service Provider Quarterly Report

Purpose of report

- To monitor the implementation of the MASSiSS service in a secondary school
- Review MASSiSS service components
 - Social work with young people
 - Prevention and intervention group programmes
 - Community networking
- Overview and analysis of social trends, specific needs, and service provision
- Social worker input as report includes highlights of social worker experiences and statistical details
- Inform MASSiSS systems and resource development
- Completed report is a component of Child, Youth and Family Contract Management requirements

Process of report

- One report completed for each school 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 MASSiSS service is prepared by the social workers and collated by the service provider
- Service provider completes the narrative section of the report which includes feedback from the Partnering Agreement parties and a summary of the highlights from the monthly social worker report
- Group Programme financial report is attached to each quarterly Report
- The audited financial statements are attached to a quarterly Report once they are available

Format of report

- Detailed on the following 2 pages

Service Provider Quarterly Report

Service Provider	New Lynn Community Development Trust
Secondary School	Highgate Secondary School
Social Worker[s]	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 young people					
# young people referred or self referred to social work service – example	5	10	6	7	28
# young people referred or self referred to social work service					
# young people social work cases closed at initial referral					
# young people's cases active at the end of the quarter					
# young people's cases closed after social work during that quarter					
Prevention and intervention group programmes					
# group programmes for young people					
# total attendances at group programmes					
Community networking					
# local NGOs and community services associated with MASSiSS					
# referrals to Child, Youth and Family (notifications)					
# referrals to iwi/Maori agencies					
# referrals to other community services					
Key: # - number of					

Narrative overview Maximum of 5 lines for each box

Trends in social issues in school and community

1/4	
2/4	
3/4	
4/4	

Gaps in service provision

1/4	
2/4	
3/4	
4/4	

Partnering Agreement 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
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 audited financial statement of MASSiSS service implemented during a fiscal year of the contract
- Financial accountability
- Inform MASSiSS systems and resource development

Process of report

- Financial statement is prepared by service provider
- It is required to be an audited statement
- This statement includes the funds allocated to Group Programmes
- Financial report is attached to the a quarterly Report once it becomes available

Format of report

- As prepared by the service provider

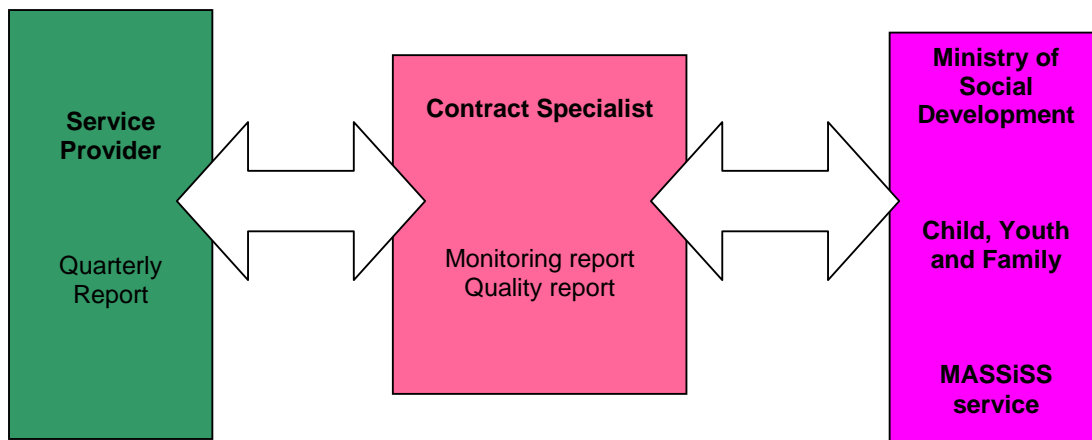
Section 3: Child, Youth & Family contract management

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 MASSISS 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 MASSiSS service and resource development (this may include details of exceptional performance in service delivery which can be shared with other MASSISS 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 2 pages)

CONTRACT MONITORING [PROVIDER] [DATE] [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 Partnering Agreement 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	
		2.2	List of interview participants and their role		
		2.3	Employment contract of social worker		
		2.4	SW participated in orientation / induction programme		
		2.5	SW trained in use of database and has access to the database manual		
		2.6	SW familiar with and has access to resources described in the service description		
		2.7	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		
		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 not employed this period	Write in dates when gaps in SW employment	
4	Provider meets standards of reporting as	4.1	SW has functioning computer linked with internet		
		4.2	SW database backed-up monthly (administration reporting portal)		

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

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

No	Indicator	No	Source of Verification	Comments	[date]
	detailed in contract	4.3	SW reports completed as per report template headings		
		4.4	Provider quarterly Report - Dates 1 2 3 4		
		4.5	Financial statement 1x p.a.		
5	School meets standards of space, equipment, communication, referral system, and promotion of 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 per month documented		
		5.7	Information/promotion materials and methods eg website (list what is being used)		
6	Group Programmes implemented	6.3	Group Programme plan listed		
		6.4	Each Group Programme documented in reporting template		
		6.5	Financial report maintained on spreadsheet		
		6.6	Programme invoices retained in file		
7	Community and school relationships	7.1	Service Provider describes current community networks the school/MASSiSS service is involved in		
		7.2	Service Provider describes current community resources being used as part of MASSiSS service		
		7.3	Service provider describes relationship with the school		

Contract Specialist quarterly service provider analysis: Quality report

Purpose of report

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

Process of report

- Complete the template each quarter once the Report has been received and/or there is other information to inform the report for example, after the twice yearly monitoring visit has been carried out
- Forward to MASSiSS 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 – MASSiSS

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 & school 1 report per school	Any concerns about reporting?	Any concerns about delivery of social work service?	Are the relationships functioning well?	Approval Issues	Any specific issues requiring close monitoring?

Section 4: Action on issues raised in monitoring process

Addressing areas of under-performance

- If the quarterly reports and 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 the schools 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

- 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 Output 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 MASSiSS service.