

# Supporting People Briefing Paper

**Performance Measurement**



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## Introduction to Performance Measurement

Performance measurement is considered an integral part of the overall contract management arrangements with providers, with the quarterly returns forming part of the regular updates received from providers, performance contributing to the contract management risk scores and any issues or concerns being discussed at regular contract meetings.

Aggregated performance information is also used to manage performance across the Supporting People (SP) programme and produce both local and national benchmarks.

Service performance is measured via nationally defined Performance Indicators (PIs). The provision of performance information on a quarterly basis to SP is a contractual requirement for providers.

All SP providers operating in Northern Ireland are required to make returns on a quarterly basis against the relevant PIs for all long and short term services, with the exception of floating support services.

## The New Performance Measurement Framework

Some changes are being made to the way that PI returns are made and managed for 2010/11 onwards. Thanks to the efforts of providers in supplying returns to date this information has helped inform the strategic development of the SP programme, the service review process and most recently the new contract management framework.

The changes being implemented will improve how the information is reported and managed and make the whole process smoother. They should also allow the SP team to use the returned information more effectively. The implementation of our new computer system 'SPOCC' and later in the year the extension of the system to providers, through online facilities, will ensure that the data flow from service providers to SP is efficient and accurate.

## Introducing the PI Workbook

The performance indicator workbook is an excel spreadsheet which providers will complete quarterly with the performance information for each SP funded service. This replaces the previous Contract Performance Return (CPR) form submitted by providers.



These workbooks will be pre-populated with the contract information held on the SPOCC system, providers should only enter the relevant performance data for each quarter. This will ensure consistency of data and ease of collating information both for providers and SP.

|                   |                          |  |
|-------------------|--------------------------|--|
| Service ID number | 1 4 5 3                  | Northern Ireland Housing Executive           |
| Service name      | Supporting People Hostel |  |
| Provider ID       |                          |  |
| Provider name     | SPOCC.net Test Provider  | Yr 2010/11 Quarter 1 No. of weeks 13         |
| Contact name      | Manager                  | Date submitted to administering authority    |
| Position          |                          | Full quarter: Mon 05 Apr 10 to Sun 04 Jul 10 |
| Contact address 1 | 2 Adelaide Street        | Actual dates: Mon 05 Apr 10 to Sun 04 Jul 10 |
| 2                 | Belfast                  |  |
| 3                 |                          | Capacity at the start of the quarter: 15     |
| 4                 |                          | Change in capacity from: 15                  |
| 5                 |                          | Capacity at the end of the quarter: 15       |
| Postcode          | BT2 8PB                  | Homeless families with support needs         |
| Telephone         |                          | Direct access: Short term / time limited     |
| Email             |                          |  |

Any change in capacity in the quarter will not be recorded unless the date of the change is also recorded in the box labelled "from".

|  |       |   |       |
|--|-------|---|-------|
| <b>SERVICE AVAILABILITY</b>                                      |       | <b>SERVICE UTILISATION</b>                                      |       |
| Select daily or weekly method for recording service availability | daily | Select daily or weekly method for recording service utilisation | daily |
| Total number of unit days (based on capacity) in the quarter     | 1,365 | Total number of available unit days in the quarter              | 1,300 |
| Total number of available unit days in the quarter               | 1,300 | Total number of occupied unit days in the quarter               | 1,200 |
| Available units as a percentage of capacity                      | 95.2% | Occupied units as a percentage of available units               | 92.3% |

|   |        |                              |    |
|---|--------|------------------------------|----|
| <b>THROUGHPUT</b>   |        | <b>LENGTH OF STAY</b>        |    |
| a. How many units were occupied on Sun 4 July 2010 ?  | 15     | g. More than two years       |    |
| b. How many service users died during the quarter ? (please exclude suicides - add any suicides to answer c.) | -      | h. Between one and two years | 2  |
| c. How many service users (other than those who died) ceased to use the service during the quarter ?          | 7      | i. Up to one year            | 13 |
| d. Total number of service users in the quarter.  | 22     | j. Total                     | 15 |
| e. Capacity of the service (at the end of the quarter)  | 15     |                              | 7  |
| f. Throughput: total number of service users in the period as a % of the number of units (the capacity)       | 146.7% |                              |    |

Figure 1 – Excerpt from Performance Workbook

The workbook will provide both contract and performance information (the performance information required remains largely unchanged).

### Contract information

This area will be partially pre-populated with information from the funding agreement for the service, as held on the SPOCC system. Providers will be asked to check that this information is correct and provide comments for areas which need to be amended.



In the staff team section of the contract page of the workbook services will be required to account for their entire staff team in the service. This section will only need to be completed at the start of each financial year and separates staff into 3 groups:

- Frontline Staff – Members of staff who spend all or some of their time on support services and work directly with clients.
- Managers of Frontline Staff – Members of staff who have direct responsibility for staff in the first group.
- Other staff who work on the service – Staff who work on the service but who do not provide any support under Supporting People.

## Performance Information

Service performance is measured via nationally defined performance indicators (PIs). The provision of performance information on a quarterly basis to SP is a contractual requirement for providers.

All SP providers operating in Northern Ireland are required to make returns on a quarterly basis against the relevant PIs for all long and short term services, with the exception of floating support services.

The information, which is collected on a quarterly basis, will be reported using the workbook from April 2010 and remains largely unchanged. A short definition of each performance area is provided below for reminder purposes.

## Availability

The availability of an accommodation based service is defined by the number of days each unit is available for letting during the period. Units in an accommodation-based service should only be unavailable where major repairs or improvement works are taking place or are required.

## Utilisation

The utilisation of an accommodation based service is related to occupancy of available units. It is possible to have low availability and high utilisation. For non-accommodation based services, utilisation is measured in terms of how many people used the 'placements' available or how many days of support were provided during the period.



## Throughput

Throughput identifies the number of people who have used the service. The calculation takes account of the number of people who have departed as well as those that continue to use the support service.

## Length of stay

This records the length of stay for those clients who both remain in the service and for those who have left the service.

## Departures from Short Term Accommodation or Outreach Services

The return collects information on those who departed from short term services. The workbook calculates the percentage of planned moves against all moves.

A planned departure for SP is where an individual is moved in a planned way to a more independent outcome.

## Departures from Long Term Accommodation based services or support-only services

This measure represents the only current addition to the range of performance information collected. The return now also collects information on departures from long term accommodation based services or support only services.

The workbook calculates the number of users who have established or maintained independent living during the quarter (this includes those who have departed as well as those who continue to receive support to maintain their independence).

## Accessing the new workbooks

Providers will receive performance workbooks for each of their services funded by SP (except floating support services) in order to make returns against the relevant PIs in each quarter.

## Downloading workbooks from SPOCC.net

SP are currently implementing the new SPOCC.net (Supporting People by Oxford Computer Consultants) application which provides a secure online link for data access and exchange between SP providers and the SP team.



Providers will have access to key information held by SP on their own services and clients. It also provides the facility to update this information and perform key actions. This includes the electronic downloading and submission of the performance workbooks to SP.

The phased roll out of the SPOCC.net application commenced in April 2010 and is due to be completed in October 2010. Specific separate guidance detailing how the performance workbooks can be downloaded and submitted using SPOCC.net has been produced and is available on the NIHE’s website.

All providers who have been provided with access to the SPOCC.net system should use this application to download and submit their performance workbooks to SP.

### Email for non-SPOCC.net users

In advance of being provided with access to SPOCC.net, providers will be issued with and will return their performance workbooks via email.

The pre-populated workbooks for the financial year 2010/11 will be emailed to a designated contact for the service or service(s) of each provider during May 2010. The completed workbook(s) should be emailed to SP at the end of each quarter to:

- [performanceworkbooks@nihe.gov.uk](mailto:performanceworkbooks@nihe.gov.uk).

Further details on this method for receiving and returning the performance workbooks are available on the NIHE website.

### Returning workbooks

Performance workbooks should be returned every quarter by dates stipulated by SP. These dates are detailed on the NIHE website and the relevant dates for 2010/11 are also provided in the table below.

**Table 1 – PI timetable for 2010/11**

| Quarter    | Reporting period   | Return deadline               |
|------------|--|-------------------------------|
| Q1 2010/11 | 5 <sup>th</sup> April 2010 to 4 <sup>th</sup> July 2010      | 19 <sup>th</sup> July 2010    |
| Q2 2010/11 | 5 <sup>th</sup> July 2010 to 3 <sup>rd</sup> October 2010    | 18 <sup>th</sup> October 2010 |
| Q3 2010/11 | 4 <sup>th</sup> October 2010 to 2 <sup>nd</sup> January 2011 | 17 <sup>th</sup> January 2011 |
| Q4 2010/11 | 3 <sup>rd</sup> January 2011 to 3 <sup>rd</sup> April 2011   | 18 <sup>th</sup> April 2011   |



In the past, reminders have been sent but no sanctions have been taken against providers who return workbooks late.

However, it is important that data for every service is returned in order to monitor and evidence the success of the SP programme in Northern Ireland. In addition, performance indicators have been a contractual requirement of SP since the commencement of the programme. We are keen to ensure that a consistent approach is adopted with regard to action that we take where services fail to make returns or meet performance standards.

Workbooks for quarter one which ends on 4<sup>th</sup> July 2010 will be due immediately after this date and providers are required to return the workbooks to SP by the return deadline of 19<sup>th</sup> July 2010. There are a number of procedures for ensuring compliance with performance arrangements:

- The SP team will send a reminder email to all providers two weeks before the return deadline.
- If providers have difficulty meeting the return deadline for a specific reason, a short extension may be offered at the discretion of the Area Lead Officer who deals with the service(s).
- In the case of workbooks still outstanding five working days after the deadline, an email will be issued reminding providers of their contractual obligations and requiring their return within a further ten working days.
- Unplanned late returns or failure to submit returns may lead to the commencement of contract default procedures.

## Performance targets & tolerances

National performance data has been used alongside details of local services performance information to inform the establishment of performance targets and tolerances.

From April 2010, we are introducing a set of targets and tolerances which reflect the focus of individual services whilst ensuring that services continue to improve their performance. The new tolerances and targets have been developed using the Traffic Light or RAG system of performance monitoring.

This means that for each service and PI, if the data returned is above the target set it will be labelled as “**Green**”, if the value of the data falls between the critical and warning tolerances set it will be labelled as “**Amber**” and if the value of the data returned falls below the critical tolerance set it will be labelled as “Red”.



**Green** represents the level of performance which should be aimed for.

**Amber** represents a level of performance which may raise SP's concerns and require further investigation.

**Red** represents a level of performance which raises more serious concerns and will require further action.

The details of the targets and tolerances set for 2010/11 for each of the KPIs and SPIs are provided in the table below.



**Table 2 – 2010/11 PI targets & tolerances**

|                              |  |  |   |
|------------------------------|--|--|---|
| <b>Performance indicator</b> | <b>KPI 1 - Number of people supported to live independently – Long Term &amp; Floating Support Services</b>                      |  |   |
| KPI 1                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 95% or over  | 90% to 94.9%                               | Below 90%                                 |
| <b>Performance indicator</b> | <b>KPI 2 – Planned departures from Short Term Services</b>   |  |   |
| KPI 2                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 75% or over  | 65% to 74.9%                               | Below 65%                                 |
| <b>Performance indicator</b> | <b>SPI 1 – Availability accommodation based services</b>   |  |   |
| SPI 1                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 100%   | 95% to 99.9%                               | Below 95%                                 |
| <b>Performance indicator</b> | <b>SPI 2 Utilisation</b><br>A) Occupied units as a % (accommodation)<br>b) Support days provided as % of support days (floating) |  |   |
| SPI 2                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 90% or over  | 85% to 89.9%                               | Below 85%                                 |
| <b>Performance indicator</b> | <b>SPI 4 Throughput</b><br>Percentage of clients moving through (short term)   |  |   |
| SPI 4                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 120% or over   | 100% to 119.9%                             | Below 100%                                |
| <b>Performance indicator</b> | <b>SPI 4 Throughput</b><br>Percentage of clients moving through (long term)  |  |   |
| SPI 4                        | Target<br>( <b>Green</b> range)  | Warning tolerance<br>( <b>Amber</b> range) | Critical tolerance<br>( <b>Red</b> range) |
|                              | 100%   | 100.1% to 105%                             | Over 105%                                 |

Targets and tolerances will be reviewed at the start of each financial year in order to reflect on the performance levels achieved in the previous year and take into account any regional/national developments.



## Managing performance

The SP team will assess the performance of each service against the performance targets on a quarterly basis. In addition, the cumulative performance information will be used in contract management meetings with feedback given by the SP team to the provider and any necessary actions agreed.

Where poor performance is identified, the Area Lead Officer will discuss any issues with the provider. In some cases there may be valid reasons for performance below the targets set by SP. For example, as a newly commissioned service brings units into operation on a phased basis. In situations where there is a valid reason for apparent poor performance providing a comment in the performance workbook would be good practice.

In certain instances where performance persistently falls below the critical tolerances set further action may be instigated by SP.

- A formal written request to the provider of the service(s) for an explanation as to why performance standards have not been met.
- The advancement of the next contract meeting for the service(s) in order to discuss SP's concerns regarding performance and agree an action plan to address the issues.
- The completion of a performance visit by SP in order to evaluate first hand the performance of the service(s) and make recommendations for corrective action.
- The issuing of contractual default notices.

The underlying principles to be adopted in all cases are consistency and proportionality. This means that SP will expect all services to achieve the standards set. However, the method used to deal with any failures identified will depend on the service issues that have arisen and other factors:

- The margin by which the standards were not met.
- Whether the failure is due to a particular characteristic of the service (e.g. a small service or one which works with very complex clients).
- Whether this is a one off or is part of a consistent pattern of failure to meet standards set.
- Whether an adequate explanation of the failure has been provided.
- Whether the issue has already been raised on a previous occasion.



## **Issuing of default notices**

The objective of setting performance standards is to get services to perform at their full potential. If they are not meeting this objective SP needs to work with providers to identify the reasons why, and then establish how these issues can be addressed. In all cases the issuing of default notices is seen as a last resort only to be used after all other options have been explored with the provider but have failed to achieve an improvement in the performance standard.

## **Validating performance data**

SP will also be seeking to carry out random validations of performance data to ensure that the information returned in the quarterly workbooks accurately reflect service records and actual practice. This will be undertaken by the appropriate Area Lead Officer, in accordance with the contract management arrangements, either during a validation visit or as part of regular contract management meetings.

## **Potential developments to the Performance Measurement Framework**

Further developments to the Performance Measurement Framework are being considered in order to both broaden the range of information available for contract management purposes and improve the mechanisms used to report this information both internally and externally.

## **Extending the workbook to Floating Support Services**

Consideration is being given to the extension of the PI workbook to floating support services, replacing the current monthly monitoring arrangements.

In order to use the workbook to provide performance information for floating support services, units for each service will need to be agreed, based on the number of available placements in the service.

The use of the workbook for floating support services is being evaluated with the providers using SPOCC.net on a pilot basis. Providers will be notified promptly if their use is to be extended to all floating support services.



## Implementation of the additional SPI for staffing levels

The use of the additional performance indicator for staffing levels is also being evaluated with the providers using SPOCC.net on a pilot basis.

It is of particular use with floating support services as it provides management information relating to the available staffing input to the service.

This enables comparisons to be made between planned support hours worked and the actual support hours worked.

Providers will be notified promptly if a decision is taken to commence the collection of performance information against SPI 3 staffing levels.

## Management information reports

Specific reports relating to the performance of individual services against the targets and tolerances set by SP will be available to providers through the SPOCC.net system.

SP are also seeking to develop a range of management information reports which can be used to monitor and improve the performance of SP services and the SP team.

The introduction of SPOCC and the new contract management arrangements allows for the collection and reporting of a much broader range of performance information. It is anticipated that a composite performance report will be developed and published for the programme. This will include not only an analysis of performance data over a period of time to understand trends but which also summarises, at programme level, service quality standards, contract management activities etc.

## Documentation and guidance

As outlined in earlier sections, the performance workbooks themselves will be issued electronically to providers during May 2010 initially by email and subsequently using SPOCC.net; as this application is rolled out.



All of the guidance for the performance measurement process is available from the SP section of the NIHE website, under Performance Measurement.

- [www.nihe.gov.uk/performance\\_measurement](http://www.nihe.gov.uk/performance_measurement)
- Performance Measurement Briefing Paper
- Guidance on How to Complete the Performance Workbook
- A Quick Guide to Completing the Performance Workbook
- Guidance on Downloading & Submitting the Workbook Using SPOCC.net
- Guidance on Submitting the Workbook by Email
- Performance Measurement Timetable



## Useful contacts

The SP administration team will co-ordinate the issuing of the performance workbooks (in advance of the operation of SPOCC.net for providers), issue reminders to providers 2 weeks before the end of each reporting period and will be responsible for receiving completed workbooks.

The contact details for the administrators of the performance workbooks are as follows:

Richard Begley  
[richard.begley@nihe.gov.uk](mailto:richard.begley@nihe.gov.uk)  
(028) 90318900

Vincent Leonard  
[vincent.leonard@nihe.gov.uk](mailto:vincent.leonard@nihe.gov.uk)  
(028) 90318414

Conor Loughran  
[Conor.loughran@nihe.gov.uk](mailto:Conor.loughran@nihe.gov.uk)  
(028) 90318214

The SP Area teams will be responsible for the assessment of the performance of each service against the performance targets on a quarterly basis and for raising any performance issues with providers or instigating further action when appropriate.

The contact details for the Area Lead Officers are as follows:

### **Belfast Area Team**

Liam O'Hanlon - Lead Officer  
[liam.ohanlon@nihe.gov.uk](mailto:liam.ohanlon@nihe.gov.uk)  
(028) 90318381

Or

Sinead Twomey - Lead Officer  
[sinead.twomey@nihe.gov.uk](mailto:sinead.twomey@nihe.gov.uk)  
(028) 90318568

### **North East Area Team**

Pamela Stevenson – Lead Officer  
[pamela.stevenson@nihe.gov.uk](mailto:pamela.stevenson@nihe.gov.uk)  
(028) 9031 8881



### **South Area Team**

Eamon Mullan - Lead Officer  
[eamon.mullan@nihe.gov.uk](mailto:eamon.mullan@nihe.gov.uk)  
(028) 90318749

South East Area Team  
Donal Brereton - Lead Officer  
[donal.brereton@nihe.gov.uk](mailto:donal.brereton@nihe.gov.uk)  
(028) 90318801

### **West Area**

Louise Clarke - Lead Officer  
[louise.clarke@nihe.gov.uk](mailto:louise.clarke@nihe.gov.uk)  
(028) 90318790

Alternatively, if you would like further information on the overall performance measurement process please contact a member of the Modernising Services project team.

Caroline Connor, Project Manager  
[caroline.connor@nihe.gov.uk](mailto:caroline.connor@nihe.gov.uk)  
(028) 9031 8402

James Taylor  
[james.taylor@nihe.gov.uk](mailto:james.taylor@nihe.gov.uk)  
(028) 9031 8820

David Mayne  
[david.mayne@nihe.gov.uk](mailto:david.mayne@nihe.gov.uk)  
(028) 9031 800