



foundations

THE NATIONAL CO-ORDINATING BODY FOR HOME IMPROVEMENT AGENCIES

PERFORMANCE FRAMEWORK FOR HIAs

MONITORING AND REVIEW OF SUPPORTING PEOPLE SERVICES

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The Performance Framework for HIAs

Introduction

This paper gives descriptions of three sets of Performance Indicators (PIs):

- The indicators for interim contracts
- The high level National Key Performance Indicators required by ODPM and the Audit Commission
- The Service Performance Indicators for use by Administering Authorities (AAs) in monitoring their local HIA service providers

These descriptions draw on analysis of the existing performance indicators required by ODPM and Local Authorities, analysis of performance frameworks in other sectors (Housing, Health and Social Care) and consultations made in the sector. Taking this analysis together with the latest guidance on PIs under Supporting People (SP) issued by ODPM, we are in a position to describe a set of PIs for the HIA sector that can be used by AAs as part of the monitoring and review process under SP.

We have tried wherever possible to use indicators that can be reported using data that is available from the Management Information System (MIS) that is used by nearly all HIAs. There are, however, some indicators that are considered very useful or relevant but are not available from standard reports in MIS. Some of these can be found using Microsoft Query but some would need to be collated manually if required now.

There is the possibility that an upgraded MIS can be developed in due course and that these additional indicators can be included as "automatic" features. We have published these indicators now in order to ensure that they are included in the agenda relating to development of a "new" MIS.

Interim Contract Performance Indicators

The First Year of SP

The guidance on interim contracts implies that existing monitoring arrangements should be carried over with the "legacy" funding. For the HIA sector, this should mean that no new information would be required in 2003/2004. Monitoring returns created through MIS, as in previous years, will satisfy the information requirements. Some agencies will have agreed Local Performance Indicators with their Local Authorities (Housing Authorities). These will also remain in place during the first year interim contract period.

Interim Contracts in Subsequent Years

We recommend that, if AAs are issuing further interim contracts, or "rolling over" the existing interim contract, monitoring is continued on the basis of the ODPM performance framework (the monitoring returns currently made to Foundations) and that targets are set locally against these. This will remove the need to introduce an additional set of indicators that would be replaced after a relatively short time and prevent any unnecessary administrative burdens being placed on what are still small providers.

Steady State Key Performance Indicators

These indicators will be mandatory (a condition of funding) and will be reported to AAs annually. Authorities will aggregate the information from their areas and submit annual returns to ODPM. It is not intended to set national targets on these indicators at this stage in the SP programme.

KPI 1 Service users who are supported to establish and maintain independent living
(Clients supported)

Defined as:

The number of clients who have been supported to maintain independent living as a percentage of the total number of service users who have been in receipt of support services during the period.

HIAs support clients by: facilitating adaptations or repairs, referrals to ancillary services (Handyperson, etc.), referrals to energy efficiency or similar schemes and referrals for additional benefits or allowances.

The total number of clients supported is all those clients whose details have been recorded and who have received any of these services – the case has been “closed” during the period. **(A)**

Some clients have received services but may not have maintained independent living – they have moved into a care home, a hospice or long-stay hospital or they may have died. If the case has been closed for any of these reasons (i.e. the HIA is aware of the reason at the time the case was closed), these cases must be deducted from the total. **(B)**

The percentage of clients who have maintained independent living is, therefore:

$$\begin{aligned} \text{KPI 1.0} &= \text{Percentage of clients who have been supported to maintain independent living} \\ &= \frac{(A - B) \times 100}{A} \end{aligned}$$

KPI3 Fair access to people who are eligible for SP services
(Clients supported)

KPI 3.3 The number of people described by “primary client group” who have accessed SP as a percentage of the total number of people who have accessed SP services.

The primary client group information comes from the CORE client record form. HIAs are exempt from the requirement to complete this form until April 2005.

However, this indicator is similar in scope to the “Social Priority” indicator already included in the ODPM framework for HIAs. This defines Social Priority as follows:

Clients who are 75 years of age or older,

Clients registered disabled or described as disabled,

Clients who are in receipt of at least one means tested social security benefit, or

Clients in a single-person household with income less than £75 per week,

Clients in a non-single person household with incomes less than £125 per week.

The number of clients who fall into any of the Social Priority descriptions **(C)**

The total number of clients supported **(A)**

$$\begin{aligned} \text{KPI 3.3} &= \text{Percentage of clients who are described as Social Priority} \\ &= \frac{C \times 100}{A} \end{aligned}$$

KPI 3.4. The number of people from BME groups who have accessed SP services as a percentage of the total number of people who have accessed SP services.

- (D) The number of clients from BME groups that received a support service during the period
- (A) The total number of clients supported

BME classifications can be recorded on MIS to correspond with those on CORE client record form by using an appropriate code in the "ethnicity if other" text box. We need the total number of clients from all BME classifications. This could be found using Microsoft Query. The CORE descriptions of ethnic origin are as follows:

a. White:	6.1 British	6.2 Irish	6.3 Other	
b. Mixed	6.4 White & Black Caribbean	6.5 White & Black African	6.6 White & Asian	6.7 Other
c. Asian or Asian British	6.8 Indian	6.9 Pakistani	6.10 Bangladeshi	6.11 Other
d. Black or Black British	6.12 Caribbean	6.13 African	6.14 Other	
e. Chinese or other ethnic group	6.15 Chinese	6.16 Other		
f. Refused	6.17 Refused			

If this breakdown is not available, the number of BME clients will be the total of the groups recorded on the MIS ethnicity report: Black Caribbean, Black African, Black other, Indian, Pakistani, Bangladeshi, Chinese, Other.

KPI 3.4 (G) = Percentage of new clients that are from a BME group = $\frac{D \times 100}{A}$

KPI 3.5. The proportion of people from BME groups who have accessed SP services in comparison to the proportion of people who describe themselves as being from a BME group (over the age of 16).

Compares the result from KPI 3.4 with the percentage of people in the local population aged over 16 who describe themselves as coming from a BME group as listed. The BME population data for your area is available from ONS and from Census information.

- G The result from KPI 3.4
- H The percentage of people in the local population aged over 16 from a BME group

KPI 3.5 = Ratio of the percentage of clients from a BME group to the percentage of people from a BME group in the local population aged over 16 = $\frac{G}{H}$

Steady State Service Performance Indicators

Service Performance Indicators (SPIs) are indicators that concentrate on the performance of individual support services. These indicators are nationally defined for use at a local level.

AAs can select which indicators they wish to use from this "library" as part of the contract monitoring process. Targets against the agreed indicators would also be agreed between the AA and the provider.

SPI 3. Staffing Levels

SPI 3.1 The actual number of hours worked in providing the support service ("core" or SP funded services) as a percentage of the number of hours included in the support contract .

Hours worked does not include holidays, jury duty, sickness or absence for any other reason.

SPI 4. Price of Services

(SP funded services)

SPI 4.1 Agency budget (The agency budget eligible for SP funding)

SPI 4.2 The value of work done excluding VAT and fees

SPI 4.3 The ratio of value of work done to agency budget

SPI 4.4 Funding ratio – the ratio of the value of work funded from "public" sources to the value of work funded from "private" sources.

SPI 5. Throughputs

SPI 5.1 Number of enquiries

SPI 5.2 Number of cases completed by type ("Core" service)

SPI 5.3 Number of cases completed by type ("Ancillary" Services)

SPI 5.4 (Not current MIS) The number of clients who consider that their health or well-being has been improved as a result of the service (from satisfaction survey)

SPI 5.5 (Not current MIS) Number of clients that consider that HIA intervention has prevented a fall, or reduced the risk of falling (from satisfaction survey)

SPI 5.6 The number of clients referred for additional welfare benefits

SPI 5.7 (Not current MIS) The value of additional benefits gained. Annualised amount for each client referred for additional benefits multiplied by number of clients referred.

SPI 6. Support Plans

The support plan is a statement of how a client or service user will be supported to move from dependent to independent living. Agencies do not normally produce a support plan in the same way that some service providers need to. What HIAs often produce for their clients is a "project plan" or "schedule of works" or "work plan". We can provide an indicator that refers to these documents for cases where works or adaptations have been carried out.

Agencies do carry out detailed assessments of client's situation and needs.

SPI 6.1 The number of schedules of works (include drawings) that have been prepared in the period

SPI 6.2 The number of clients for whom a detailed assessment of needs has been completed in the period

SPI 6.3 The number of aborted schedules that have been prepared in the period.

SPI 8. Complaints

(Not current MIS)

The number of clients that made a complaint as a percentage of the total number of clients (Client total **A** from KPI calculations) during the reporting period.

SPI 9. Response times

(For clients who have had works or adaptations on their homes)

SPI 9.1 Average time from enquiry to first visit (weeks) for completed cases

SPI 9.2 Average time (weeks) from first visit to completion of minor jobs (value of work <£1000)

SPI 9.3 (Not current MIS) Average time (weeks) from first visit to completion of intermediate jobs (value of work £1001 - £5000)

SPI 9.4 (Not current MIS) Average time (weeks) from first visit to completion of major jobs (value of work >£5001).

Definitions:

Enquiry is the date of the first contact between the agency and the client. This may be a telephone call from the client (a "self-referral") or it may be a referral from another agency (e.g. Occupational Therapist (OT), Citizens Advice Bureau, Local Charity).

First Visit is the date of the first visit by a member of agency staff (usually case worker or technical officer) to the client's home.

Completion is the practical completion date – the date when the HIA informs the commissioner that works have been completed according to the schedule or assessment.

Note:

Timescales are only calculated for cases that have been completed in the period.

The timescales for many cases include the timescales for other agencies and organisations (referral for OT assessment, grant office process times, contractors submitting tenders) that are outside the control of the HIA. Any targets set against these indicators should take these factors into consideration.

SPI 10. Tenure of Clients

SPI 10.1 The number of clients who live in the private sector as a percentage of the total number of clients. These are clients where work has been completed in the period.

SPI 10.2 The number of clients from each type of tenure who have received a support service as a percentage of the total number of clients (Client total **A** from KPI 1).

SPI 11. Client Satisfaction

SPI 11.1 (Not current MIS) The number of clients that stated that they were satisfied with the help they received as a percentage of the number of clients responding to the satisfaction survey.

SPI 11.2 (Not current MIS) The number of clients that stated that they were satisfied with the handyperson service as a percentage of the number of clients responding to the satisfaction survey

SPI 11.3 (Not current MIS) The number of clients that stated that they were satisfied with the contractor as a percentage of the number of clients responding to the satisfaction survey.

SPI 11.4 (Not current MIS) The number of clients responding to the satisfaction survey as a percentage of the total number of clients sent a satisfaction survey.

SPI 12. Contractors

SPI 12.1 Contractors list – the number of approved contractors whose details are held on the list of contractors

SPI 12.2 (Not current MIS) The number of contractors reviewed for continued inclusion on the "approved" list in the period.